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## Faculty Handbook, September 1995

University of Tennessee - Knoxville

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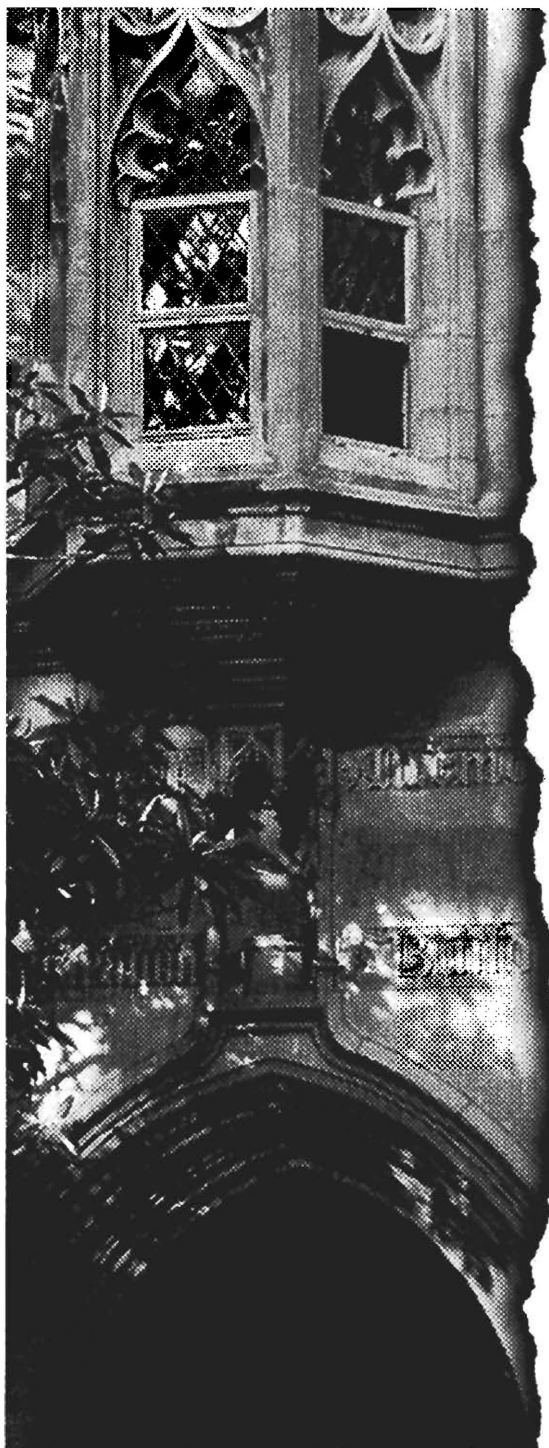


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# Faculty Handbook



*The University of  
Tennessee, Knoxville*



# Faculty Handbook



*The University of  
Tennessee, Knoxville*

*September 1995*

The University of Tennessee, Knoxville does not discriminate on the basis of race, sex, color, religion, national origin, age, disability, or veteran status in provision of educational opportunities or employment opportunities and benefits.

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Inquiries concerning Title VI, Title IX, Section 504, and the ADA should be directed to the Office of Diversity Resources and Educational Services (DRES); 1818 Lake Avenue; The University of Tennessee, Knoxville; Knoxville, TN 37996-3650; or telephone 974-2498. Requests for accommodation of a disability should also be directed to DRES.

Produced by the Office of the Vice Chancellor for Academic Affairs  
The University of Tennessee, Knoxville  
William T. Snyder, Chancellor  
John G. Peters, Vice Chancellor

Linda R. Maxson, Editor and Associate Vice Chancellor  
and Dean of Undergraduate Academic Affairs



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## WELCOME

The University of Tennessee, Knoxville has just celebrated its bicentennial year — we have a long and proud tradition of dedication and commitment to outstanding education. The faculty is the prime indicator of University quality. Our goal is to work with faculty to nurture, maintain, and increase academic excellence at UTK.

New faculty will be interested in learning about our University performance expectations and standards. Because each unit of necessity sets its own standards according to its unique needs and mission, all faculty are encouraged to discuss these expectations with their unit administrators and senior faculty. All faculty are urged to work to maintain a reasonable balance in their teaching, advising, research, and service responsibilities.

UTK is committed to diversity in all arenas of University function. In all things we strive to provide a nurturing environment for learning and teaching. As a major research university, we still retain a deep commitment to excellence in undergraduate and graduate education. As a land-grant institution, we also have a responsibility to serve the State of Tennessee and the nation. All of us must be constantly involved in efforts to improve educational quality and serve the ever-changing needs of society.

I am pleased to extend to you this opportunity to join us in this unfolding journey.

John G. Peters

Vice Chancellor for Academic Affairs



# INTRODUCTION

A faculty handbook serves the important functions of providing the University's sense of itself and articulating the expectations of the faculty as well as the faculty's expectations of the University and its officers. As a member of the UTK faculty, your closest relationships will likely be with individuals in your immediate academic unit, but the entire University community can provide a rich context for your academic life at UTK.

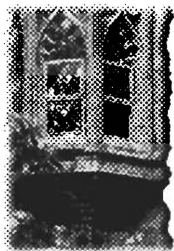
As a member of the UTK faculty, you will play a vital role in providing intellectual leadership within the University community. Your professional activities will be diverse - including teaching classes, advising, conducting research, creating original artistic works, attending committee meetings, and participating in national and international meetings relevant to your professional discipline. Naturally, you will want to know what is expected of you and how your work will be evaluated, especially those of you who are entering tenure-eligible positions.

All faculty must discuss their annual and long term plans with their department (or unit) administrators and also with senior colleagues - such discussions will be most useful if held early and often. Such conversations will provide insights into how best to invest your energies and prioritize the many demands that will be made upon you so as to help meet the needs of your academic unit and also maximize your own professional development.

The *Faculty Handbook* has been designed for your use and is intended to be a general reference to University guidelines and policies as well as University services and resources. When official University policies and procedures are changed by action of the Board of Trustees, or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any provision of the *Faculty Handbook* to the contrary without need for further notice. Notification of such changes are regularly given to departmental and college offices and (on some topics) to individual faculty. The most recent versions of UTK Policies and Procedures should be available in each departmental office for your inspection. If you have questions about a particular policy or issue, be sure to consult your department administrator, human resources representative, director of academic affairs, or director of business services.

We hope that this handbook will prove useful to you. Suggestions for changes and improvements to future editions are always welcomed and should be forwarded to the Associate Vice Chancellor for Academic Affairs, 505 Andy Holt Tower.





# Governance And Organization

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## 1.1 NATURE AND PURPOSE

The University of Tennessee is a state-supported, comprehensive University with a land-grant tradition. It aims on its several campuses to provide programs of high quality in instruction, research, and public service to a wide and varied constituency. There are four primary campuses—at Knoxville, Chattanooga, Martin, and Memphis. In addition there are the statewide divisions represented by the Institute for Agriculture, the Institute for Public Service, and the Division of Continuing Education.

*Instruction* is offered in the traditional disciplines and in many new areas that go beyond tradition to encompass older disciplines in different ways. Students of all ages, from teenagers to retired persons, come to the University to learn. Sometimes the University comes to them, in off-campus locations, through correspondence, and via radio and television.

For many this learning is basic and formative; for others it represents the renewal or continuation of studies long since begun, the refurbishing and deepening of professional skill and knowledge, or simply the widening of personal enjoyments and horizons.

*Research* is the foundation and key to the learning that a university provides. Research is learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation of the known and the unknown. University research facilitates application of existing knowledge to important practical problems, and it also achieves, in pure or theoretical form, a basic knowledge that may eventually have application in new and often surprising ways.

*Public service* is rendered to individuals, professions, businesses, labor, government, and other groups or institutions, in the application of a university's resources for the solution of problems and the improvement of the common life.

## 1.2 GOVERNANCE

### 1.2.1 Board of Trustees

*All legal authority for the governance of The University of Tennessee is vested in a Board of Trustees.* The Board consists of twenty-three members. Five are ex officio members: the Governor, the Commissioner of Agriculture, the Commissioner of Education, the Executive Director of the Tennessee Higher Education Commission (non-voting), and the President of the University. The rest are appointed, as follows:



- one person representing each of the nine Congressional Districts as the State was formerly apportioned
- two persons representing Knox County
- two persons representing Shelby County
- one person representing Davidson County
- one person representing Anderson, Bedford, Coffee, Franklin, Lincoln, Moore, and Warren Counties
- one person representing Weakley County
- one person representing Hamilton County
- one student (rotating one-year appointment)

At least one member of the Board must be a woman. At least one-third of the appointed members must be members of the principal minority political party. At least one-third of the appointed members must be alumni.

The Board establishes policies governing the scope of the University's educational programs; has full authority to determine and control activities and policies of all organizations that bear or are carried under the name of the University; and controls the election, appointment, and removal of all officers, faculty, and employees of the University, and the fixing of their compensation.

The Board has delegated administrative authority to the President who exercises this authority through delegation to, and in consultation with, a staff of Vice Presidents and Chancellors. The Board has delegated to the UTK Faculty Senate authority, subject to the approval of the Chancellor, the President, and the Board itself, to determine general educational objectives and policies at UTK and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs.

The Board appoints has a number of standing committees upon nomination of the President: Executive; Academic Affairs; Finance and Business; Buildings and Grounds; Agriculture; Athletics; Development, Alumni Affairs, and Public Relations; Health Affairs; Student Affairs; Public Service and Continuing Education; and Faculty and Staff Affairs. Selected faculty, students, and administrative officers serve with Board members on some of these committees.

In making committee appointments the President normally consults with the campus Chancellors — at UTK the Chancellor in turn normally consults with members of the Faculty Senate.

### ***1.2.2 Office of the President***

The statewide administration, headed by the President, enunciates the general mission of the University, its practical and philosophical bases, and coordinates comprehensive, long-range plans, growth, and development of the campuses and statewide

operating divisions. The statewide administration ensures that the University functions with coherence and seeks to take advantage of the size and diversity of its campuses and programs.

Other vital functions of the statewide administration are:

1. coordination of charges for tuition, fees, and auxiliary services;
2. development of facilities;
3. liaison with federal and state agencies, corporations, foundations, and agencies, for sources of support;
4. representation of the University to the Legislature, the Tennessee Higher Education Commission (THEC), and the Governor;
5. provision to the campuses of certain administrative and technical services more efficiently and economically furnished on a statewide basis;
6. liaison with educational boards, councils, organizations, consortia, associations, and conferences at all levels.

Many of these functions are performed in close consultation with the Chancellors and other campus officers. Because of the President's visibility to officials of state government, the news media, and the general public, a significant number of the inquiries, requests, and complaints concerning any campus or division may be directed initially to the President's office. Such matters will normally be directed to an appropriate Chancellor or Vice President for resolution, but each of these staff members must keep the President informed of significant activities, problem areas, and proposed policy changes even in those instances in which effective authority has been delegated to the campus or operating division. The Vice Presidents and Chancellors report directly to the President. The Vice Presidents and members of their staffs have no line authority over campus officers. The Vice Presidents have, however, functional responsibilities in areas such as academic affairs, finance, and development, which require that they and members of their staffs consult regularly with the Chancellors and other officers. Appropriate points of contact are agreed upon in advance by the Chancellor and Vice President responsible for a given function. In several areas—for example, Continuing Education, Development, and Public Service—Vice Presidents or members of their staffs may request services from officers or individuals according to similar guidelines.

*Alumni Organizations.* The alumni organizations of all campuses are united as the University of Tennessee National Alumni Association. Each campus maintains an office of alumni affairs (see Chapter 8).

*Institute of Agriculture.* The statewide Institute of Agriculture has especially close ties with the Knoxville campus. The Institute traces its history to 1869, when UTK was designated as the state's federal land-grant institution and was charged to offer instruction in agriculture and the mechanic arts. Chief officer for the Institute is the Vice President for Agriculture, who with the other Vice Presidents, reports directly to the

President. This arrangement recognizes the statewide nature of the Institute's programs in research and extension. However, close ties are maintained with UTK in the area of instruction. The Deans of the College of Agriculture and the College of Veterinary Medicine report administratively to the Vice President for Agriculture and functionally to the Chancellor or Vice Chancellor for Academic Affairs of UTK. Faculty of these Colleges hold joint appointments, and their efforts are divided between instructional duties for the College and duties in research for the Experiment Station and/or extension for the Agricultural Extension Service. Hence, the Deans and faculty of the Colleges of Agriculture and Veterinary Medicine are members both of the faculty of UTK and of the Institute of Agriculture. Decisions regarding physical facilities of the colleges are the responsibility of the Vice President for Agriculture; those regarding curriculum and academic policies are made through the normal faculty and administrative channels of the Knoxville campus. Faculty personnel policy is the responsibility of the Institute of Agriculture under the Vice President for Agriculture with concurrence of the Vice Chancellor for Academic Affairs of UTK.

*Intercollegiate Athletics.* All major decisions relating to intercollegiate athletics (approval of budgets, negotiation of coaching contracts, allocation of tickets, participation in conferences, post-season games, and tournaments) are subject to review and approval of the Executive Committee of the Athletics Board established for each campus. Each committee includes at least the President, the Chancellor, the Chair of the Athletics Committee of the Board of Trustees, the Executive Vice President, the campus Director of Athletics, and a faculty representative.

### 1.3 CAMPUS ADMINISTRATION

The Chancellor has been delegated authority to administer the campus, subject to general University policies, and to coordinate campus relations with the officers of the statewide administration. The Chancellor is authorized to recommend the appointment of appropriate administrative officers for the campus through the President to the Board of Trustees.<sup>1</sup> The Chancellor exercises primary authority in:

1. control and allocation of the budgeted appropriation and other funds;
- ② establishment of the administrative organization;
- ③ approval of personnel appointments;
- ④ administration of academic programs and policies;
5. administration of student affairs and services; and
6. administration of the physical plant.

<sup>1</sup> Important academic appointments on a particular campus (including those of department heads, deans, vice chancellors, etc.) are reviewed by the Senior Vice President, acting on behalf of the President, prior to final approval. Significant non-academic administrative appointments are reviewed by the appropriate vice president: for example, the proposed appointment of a campus director of finance would be reviewed by the Executive Vice President for Business and Finance prior to final action. Further, all appointments at the level of dean or above are discussed by the President with the appropriate committee of the Board of Trustees. Note also that the Faculty Senate is charged to give advice, consult, and participate in searches for candidates for these posts.

As a member of the President's staff, the Chancellor also participates regularly and effectively in the University's statewide administration.

The Chancellor is expected to articulate long-term academic goals and to see that high standards are maintained in all academic programs. The faculty establishes the curriculum and recommends new academic programs; however, the Chancellor exerts a major influence on the specific direction of academic change, not only through basic judgments on budget and staff, but also in the continuous evaluation of existing academic programs and in the planning of overall program direction. Such planning involves faculty and administrative groups and is carried on in consultation with the Planning and Budgeting Advisory Committee.

X The Chancellor is also responsible for maintaining fair employment practices, promotion procedures, and wage and salary distribution, as well as good working conditions for the benefit and safety of all personnel.

While the Chancellor is primarily concerned with the campus, he/she also has great visibility and influence far beyond Knoxville. Units of UTK offer a number of academic programs in other cities, among them two graduate programs in Oak Ridge, the University of Tennessee Space Institute at Tullahoma, branches of the School of Social Work in Nashville and Memphis, and a statewide graduate engineering program.

The *Executive Assistant to the Chancellor* serves the Chancellor directly in coordinating the work of campus administration. He/She also provides a first level of response to inquiries from outside the University, which he/she directs to the appropriate academic or administrative unit.

X The *Vice Chancellor for Academic Affairs* is the chief academic officer, is second in rank to the Chancellor at UTK and acts on his/her behalf in the Chancellor's absence from the campus. The Vice Chancellor convenes and works with the Board of Deans in the administration of all academic programs and works closely with several key committees of the Faculty Senate. The Vice Chancellor is an ex officio member of the Senate Executive Committee and of the Senate Faculty Affairs Committee.

Four *Associate Vice Chancellors* report directly to the Vice Chancellor for Academic Affairs.

The *Associate Vice Chancellor and Dean of Undergraduate Academic Affairs* coordinates policy and planning for baccalaureate programs, chairs the Undergraduate Council, and is responsible for Undergraduate Advising, First Year Studies, Summer and Evening School, University Studies, University Honors, and the Office of Undergraduate Academic Services. She/He also oversees a range of activities related to faculty development, including production of the *Faculty Handbook*, yearly procedures for consideration of promotion and tenure, and the Learning Research Center.

The *Associate Vice Chancellor and Dean of the Graduate School* chairs the Graduate Council and administers all programs and policies of the Graduate School. This Associate Vice Chancellor also coordinates the Faculty Professional Development Award program. In addition, he/she is responsible (with the Vice Chancellor for Administration and Student Affairs) for review of the work of the Center for International Education.

The *Associate Vice Chancellor for Research* administers the work of the office of Research Administration and is responsible for the definition and coordination of research policy and for the coordination of UTK's relations with business, industry, government, and other external agencies in the development of the research agenda of the University. He/She is responsible for policy governing research centers and for coordination of research centers such as the Transportation Center and the Energy, Environment and Resources Center.

The *Associate Vice Chancellor and Dean of Continuing Education* is responsible for the outreach work of the university and administers all programs and policies of the Division of Continuing Education. She/He coordinates UTK's educational public relationships and develops administrative support systems to serve the educational needs of nontraditional students and other external constituencies.

Additionally, several campus-wide ancillary units report directly to the Vice Chancellor for Academic Affairs: the Office of the Dean of Admissions and Records, the Center for International Education (joint responsibility with Vice Chancellor for Administration and Student Affairs), the Office of Program and Evaluation Services, the University Libraries, ROTC Air Force Aerospace Studies, and ROTC Army Military Science.

The *Vice Chancellor for Business and Finance* recommends and carries out policies concerning physical, business and financial matters, including budgetary control and fiscal reports, the personnel program, maintenance of grounds and buildings, procurement, and security. Reporting to this Vice Chancellor are the Director of Business Services, the Director of Finance, the Director of Physical Plant, and the Director of Facilities Project Management, the Executive Director of Human Resource Management and one Associate Vice Chancellor.

The *Associate Vice Chancellor for Space and Facilities Management* oversees space and facilities planning, the assignment of space, and coordination of space and facilities matters with local and regional governmental authorities and organizations. She/He chairs the Space Committee in recommending policy and operational matters broadly related to space, grounds, and facilities.

The *Vice Chancellor for Administration and Student Affairs* oversees a broad range of student activities, including the work of the Office of the Dean of Students, University Safety and Security, University Residence Halls, Dining Services, Student Conduct and Orientation, Student Programs, Career Services, Central Alarm System, Office of Minority Student Affairs, Office of Reentry Students, Central Assembly and Arena, International Student Affairs, the Counseling Center, the Student Health Clinic, Rental Properties, and the University Bookstores. In all of these programs the Vice Chancellor's concern is with services which will enhance the welfare of students and the quality of student life.

The *Vice Chancellor for Development and Alumni Affairs* coordinates and supervises efforts to raise funds from private sources. The primary duties of individuals working within the Development Office include the securing of private gifts from

individuals, corporations, and foundations; the identification and cultivation of prospective donors and volunteer workers; the supervision of gift records; liaison with the university-wide Development Office; and advice, assistance, and consultation with faculty and administrative staff on proposed fund-raising projects (See Chapter 8).

This office also directs the policies and programs in Alumni Affairs and provides liaison with the university-wide Office of Alumni Affairs and Annual Giving. The UTK Alumni Office is responsible for class reunions and homecoming, the Golden Grads reunion, the Volunteer Alumni Network (VAN) Program, and the activities of the Student Alumni Council (SAC), and assists the Black Alumni Associates in their respective programs.

Through the University's annual giving program, alumni and friends of the University contribute financially to many academic programs on all four UT campuses. The National Alumni Association annually funds scholarships, alumni distinguished service professorships, and special library improvement grants in addition to various programs and projects on the UTK campus.

The *Vice Chancellor for Information Infrastructure* oversees the work of Academic Technology, Computing and Administrative Systems, Network Services, and Telephone Services.

The *Executive Director of the Office of University Relations*, who reports to the Chancellor, coordinates efforts to enhance public understanding of UTK and to improve communications within the campus community. He/She is responsible for the News Center and the Photography Center.

The *Ombudsperson* hears student concerns about University policies and practices. He/She deals with these concerns in a number of ways—by explaining rules and regulations, by directing students to appropriate persons for resolution of problems, by directly contacting appropriate persons, by examining records, and by making recommendations to the appropriate officers.

The *Director of Diversity Resources and Educational Service* aids, advises, and encourages departments and colleges in the effective implementation of affirmative action, analyzes and interprets for the UTK administration data relating to affirmative action efforts in compliance with EEO Title IX or Section 503 & 504 requirements, receives all complaints of discrimination on the basis of age, race and sex, national origin, religion, handicap, or veteran status made by UTK employees or applicants for employment, and leads the investigation of complaints as provided in UTK policies.

The Director also keeps abreast of new legislation, interprets existing legislation and regulations, and keeps the University community informed of such developments and their implications for UTK. This office reports directly to the Chancellor.

## **1.4 COLLEGE AND DEPARTMENTAL ADMINISTRATION**

*Academic Deans.* Academic units at UTK are varied and diverse, both in their role and scope, and in their mode of organization. Each college is administered by a chief officer (dean or director) responsible for the successful pursuit of its programs.

The complexity and magnitude of the Dean's responsibility depends upon the size and complexity of the school or college. The two largest and most complex units are Arts and Sciences and Engineering, each with a faculty of over 100. In three colleges (Education, Law, Nursing) there are no separate departments. The smallest colleges and schools (e.g. Architecture and Planning, Communications, Information Science) have fewer faculty than do many larger departments (e.g. English, Mathematics, Music, Chemistry).

The Dean has these administrative concerns:

1. the academic program in its college wide aspects, in the special relationships among its departments, and its relation to the larger University and public;
2. the faculty of the college and the leadership of the college (directors and department heads, college committees and task forces), their well-being, development, review, assessment, and renewal;
3. support services for the conduct of college business (staff, facilities, equipment); and
4. budget preparation, review, and analysis for the college.

In smaller colleges these tasks are undertaken without much administrative staff; in the larger colleges the department heads and associate or assistant deans may serve on executive committees or advisory councils. In all cases the Dean is finally responsible for the health of the college. The University looks to the Dean for definitive recommendations about the curriculum; staffing, faculty promotion, tenure, and review; development needs; and all financial aspects of college operation.

Where there are departments or other budgeted academic units within the college, the Dean receives recommendations for faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as for departmental budgets and expenditures, from the department head or unit director. Such recommendations are reviewed, approved, disapproved or altered, and submitted by the Dean to the Vice Chancellor for Academic Affairs. In most colleges the Dean uses the advice of a faculty advisory group or an executive committee before making a recommendation. Each college has a Promotion and Tenure Committee.

The chain of recommendations here described does not entail a merely passive or reacting role for the Dean or college office. Each of the Deans is continuously engaged in planning and projecting coherent strategies for the general health of the college. This activity involves the identification of needs that have not been made explicit in departmental reports, the orchestration of joint programs and ventures, and the development and execution of alternative means for doing the work of the college.

The ongoing appointment of the Dean is renewed at the discretion of the Vice Chancellor for Academic Affairs and the Chancellor, in consultation with the faculty and in keeping with a system for the regular evaluation of administrators.

The Vice Chancellor for Academic Affairs evaluates all Deans and Directors annually.

Review  
Retention

In preparation for this evaluation the Vice Chancellor asks the department heads in the college for their judgment. In colleges or schools which have no departments, the Vice Chancellor asks the faculty for their judgment.

*Department Head.* The Head is a member of the faculty who has been assigned the special duty of administering the department. The Head is appointed in consultation with the faculty of the unit which he/she will administer. The Head's responsibilities include:

- (a) care of the departmental academic program in relation to the comprehensive academic program of the University, through
  1. recruitment and development of the faculty;
  2. planning, execution, and review of curriculum;
  3. encouragement and support of faculty teaching and research;
  4. encouragement and support of faculty in public service;
  5. counsel and advice to students majoring in the discipline; and
  6. representation of the department to the public, the other faculty and administration, colleagues at other universities and institutions, and the political constituency supporting the University.
- (b) care of the infrastructure necessary for support of the academic programs through
  1. employment and supervision of clerical and supporting personnel;
  2. management of departmental physical facilities and planning for space and equipment needs;
  3. preparation and defense of the departmental budget; and
  4. authorization of all expenditures from the department budget.

In larger departments many tasks relating to these duties are delegated to other members of the department or to specific clerical or supporting personnel. In almost all departments a number of standing faculty committees are responsible for collection of data and formulation of policy recommendations concerning specific concerns. In such instances the departmental faculty ordinarily review recommendations made by committees.

The Head is specifically charged to make all recommendations concerning faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as those concerning the budget. The advice expected from the faculty in these recommendations is discussed in the next section.

Departmental proposals for the curriculum are transmitted by the Head (or a departmental representative) for review by divisional, college, and University committees. The Head does not have power of veto in curricular recommendations approved by the



departmental faculty, although it is important for college and University committees to have full benefit of the Head's advice and judgment about such recommendations.

Departmental bylaws ensure an orderly and mutually understood conduct of departmental affairs. In all cases these arrangements require the general consent or approval of the Dean, and in no case may such arrangements be taken to alter or diminish the Head's authority as the administrative officer finally responsible for the unit.

The headship, like all other administrative offices, carries no tenure. It is renewed at the discretion of the Dean, the Vice Chancellor for Academic Affairs, and the Chancellor. An annual evaluation of the Head is rendered by the Dean. In preparation for this judgment the Dean asks all members of the department for their evaluation of the Head.

## **1.5 THE FACULTY VOICE IN ADMINISTRATION**

The responsibilities of the faculty in the governance of the University are important and varied. They are discharged in two basic ways: (I) through the work of the Faculty Senate (regarding the general policies of the campus as a whole) and (II) within departments, colleges, and schools.

## **1.6 THE FACULTY SENATE**

The faculty role in campus-wide governance is organized and effected by the Faculty Senate, a broadly representative body which is specifically charged by the Board of Trustees (a) to formulate the University's educational standards and degree requirements and (b) to consider, advise, and recommend to the administration policies about a wide range of concerns affecting the welfare of the campus. Among these concerns are:

1. criteria for faculty appointment, dismissal, promotion, tenure, and retirement;
2. criteria for the selection of the Chancellor, Vice Chancellors, and other campus administrative officers;
3. criteria for the selection of the President and other statewide executive officers of the University (in conjunction with other Faculty Senates or corresponding bodies of the other campuses of UT);
4. priorities for the University development plan;
5. changes in physical facilities; and
6. policies regarding student life, rights, and responsibilities.

The Senate has no management or administrative functions either in itself or through its committees, since such functions are expressly reserved to the President (as delegated by the Board of Trustees) and through the President to the Chancellor. But the advice and recommendation of the Senate about all of the concerns listed above is considered carefully by all administrative officers.

The directly and expressly delegated responsibilities of the Senate for the educational programs of UTK include:

1. formulation of policies governing general educational objectives;
2. formulation of policies and regulations related to overall requirements for admission, retention, readmission, graduation and honors, and for degree programs and certification programs; and
3. review of the actions of the Special Faculties (i.e., the several colleges and schools) concerning specific admission and graduation requirements of the various academic units.

Discharge of these responsibilities is subject to approval by the Chancellor, the President, and the Board of Trustees.

Elective Faculty Senate seats are apportioned in February of each year among the respective colleges and schools by the Secretary on the following basis:

All part-time full-year faculty appointments and continuing part-time faculty at Assistant Professor or above who work at least 20% are combined into full-time equivalents to be added to the full-time eligible staff in determining the basis for representation.

One elected member also represents the Agricultural Extension Service, Institute of Agriculture. The President, President-elect, and Secretary are considered Senators-at-large if their term of membership from their college has expired and are not counted against the apportionment assigned to particular colleges or schools for the year of office.

The Faculty Senate has the power to make and repeal its by-laws by a two-thirds majority vote of those members present at any meeting, provided that proposed changes have been submitted to Senate members at least thirty (30) days in advance.

### **1.6.1 Organization of the Senate**

*Administrative members.* Ex-officio, voting members are:

1. the Chancellor
2. the Vice Chancellor for Academic Affairs
3. the Vice Chancellor for Administration & Student Affairs
4. the four Associate Vice Chancellors for Academic Affairs
5. the Vice Chancellor for Business and Finance

In addition, five administrative members are elected from among the Deans and Directors of the academic units for three-year terms. An elected member is ineligible for reelection for one year.

*Elected Faculty Members.* Elected faculty members of the Faculty Senate are chosen from members of the faculty meeting the following criteria at the time of election: (1) holding full-time or continuing part-time appointment with the rank, or equivalent rank, of assistant professor or higher; and (2) performance of academic duties totaling at least half time teaching, research, service, or departmental administration.

baccalaureate degrees, one member of the ROTC faculty, and four students designated by the Student Academic Council. Elections are held in the spring semester for terms to commence at the start of the following fall term. Elected representatives are apportioned among the baccalaureate degree granting units according to the number of degrees granted during the prior academic year.

In the case of the College of Arts and Sciences, representatives are apportioned among the Divisions of Social Sciences, Humanities, and Natural Sciences. Elected members must (1) hold full-time or continuing part-time appointment with the rank of assistant professor or higher, and (2) perform academic duties consisting of at least half-time teaching, research, service, or departmental administration. Ex-officio members (without vote) are the Dean of Admissions and Records, the Dean of Continuing Education, the Dean of Libraries, and the Director of the Learning Research Center and the Chair of the Standing Committee on Advising (or their designates). In addition, the administrative officer having primary responsibility for undergraduate curriculum in each college or school serves as an ex-officio member (without vote) of the Undergraduate Council if that person is not an elected representative. The Chair of the Undergraduate Council is the Associate Vice Chancellor and Dean of Undergraduate Academic Affairs.

The Undergraduate Council is concerned with standards for admission, retention, and graduation; with curricular matters in the undergraduate programs; with the development of interdisciplinary programs; with the approval of new programs; and any other matters of educational policy pertaining to undergraduate programs. The Undergraduate Council reports its actions through the Educational Policy Committee for approval by the Faculty Senate.

- (b) *The Graduate Council* voting membership consists of representatives elected for three-year terms from the schools and colleges of the University engaged in graduate work, and three graduate students elected by the Graduate Student Association. Elections are held in the spring for terms to begin the next fall. Elected representatives are apportioned among the colleges and schools according to the number of graduate students enrolled in the college or school in the previous fall term.

Elected representatives must regularly teach graduate courses or supervise graduate study and must (1) hold full-time or continuing part-time appointment with the rank of assistant professor or higher, and (2) perform academic duties consisting of at least half-time teaching, research, service, or departmental administration. Ex-officio members (without vote) are the Dean of Libraries (or designate), the Dean of Continuing Education (or designate), and the Chair of the Research Council. In addition, the administrative officer having primary responsibility for graduate curriculum in each college or school serves as ex-

officio member (without vote) of the Graduate Council if that person is not an elected representative. The chair of the Graduate Council is the Associate Vice Chancellor and Dean of the Graduate School.

The Graduate Council is concerned with standards for admission, retention, and graduation, and with curricular matters in graduate programs, with the development of interdisciplinary programs, with approval of individuals to teach doctoral courses and direct doctoral research, with the financial support of graduate students, and with any other matters of educational policy pertaining to graduate programs. The Council reports its actions through the Educational Policy Committee for approval by the Faculty Senate.

- (c) *The Research Council* consists of 15 appointed representatives chosen for staggered three-year terms by the Senate in consultation with the Research Council Chair (elected by the council at its last meeting in spring prior to the fall term when the new chair will preside), the Associate Vice Chancellor for Research, and three graduate students elected by the Graduate Student Association. Ex-officio members (without vote) include the Associate Vice Chancellor for Research, the Dean of Libraries, and the Director of the Computer Center (or designates).

The Research Council is concerned with institutional policy on research grants and contracts, patent policy, protection of investigators, protection of human subjects of research, protection of experimental animals, publications, development of interdisciplinary research, development of specialized research facilities for intercollegiate use, and any other matters of policy pertaining to research programs. The Council reports its actions for approval to the Faculty Senate.

3. *The Committee on Faculty Affairs* consists of fifteen elected faculty members. This committee is concerned with the development of criteria and procedures for faculty appointment, promotion, the granting of tenure, and discharge for cause. As outlined in chapter 3, the Committee (or a subcommittee thereof consisting of at least three members of the Committee) serves as a review board to evaluate and make recommendations to the Chancellor regarding faculty grievances that may arise in relation to employment by the University, including but not limited to such matters as work assignments, performance evaluations, salary adjustments, imposition of discipline for misconduct, promotion and/or tenure with regard to procedures, and termination of employment. A Committee member may be appointed to serve as a mediator who will undertake to facilitate the mutually satisfactory resolution of such disputes between a faculty member and a department head, dean, or other administrative official. The Faculty Affairs Committee also serves on call by the Chancellor as a fact-finding committee in matters of dismissal for cause.
4. *The Student Affairs Committee* consists of twelve elected faculty members, four students elected by the Student Senate; and ex-officio the President of the Student

Senate, the Chairperson of the Academic Council, the Chairperson of the Graduate Student Council, and the Vice Chancellor for Administration and Student Affairs. The chairperson is a faculty member. This committee is concerned with student life, rights, privileges, and responsibilities; and with social disciplinary matters, student government, and organizations. It makes recommendations to the Faculty Senate on these matters.

5. *The Executive Committee* consists of twelve members of the Senate, elected to two-year terms (six each year), and as ex officio members: the Chancellor, the Vice Chancellor for Academic Affairs, the President, President-Elect, Secretary, and immediate Past President of the Faculty Senate. The Senate President serves as the chairperson of this committee.

This committee represents the Senate as called on in meetings with the administration and other groups, handles necessary business on an emergency and interim basis between Senate meetings, recommends and reviews assignments to other committees, and establishes ad hoc committees on behalf of itself or as directed by the Senate.

This committee is concerned with the formulation and review of long and short range educational policies of the University as represented by the monetary allocations made in the budget. This committee is not concerned with individual salaries nor with college or departmental allocations, except as they may relate to the aforementioned educational policies.

When campus or system administrative appointments are to be filled, and where it is appropriate for faculty to be of assistance in recruitment and screening of candidates, the Executive Committee assists in the selection of faculty members of such screening committees and lends its counsel to the development of procedures for recruitment and screening of such candidates.

6. *The Development and Alumni Relations Committee* consists of nine faculty members elected by the Faculty Senate, and (ex-officio) the Vice Chancellor for Development and Alumni Affairs, Assistant Vice Chancellor for Development, Assistant Vice Chancellor for Alumni Affairs, the UTK Director of University Communications, the President of the University of Tennessee National Alumni Association, the President of the Student Government Association, and the UTK Executive Assistant to the Chancellor. The responsibilities of this Committee include advice and consultation on development, alumni programs, alumni relations, and public relations.
7. *The Athletics Committee* consists of twelve elected faculty, and (ex officio) the Vice Chancellor for Academic Affairs (or designate), the Director of Athletics, the Director of Women's Athletics, the faculty chairperson of the UT Athletics Board, and two students elected by the Student Senate. The Chair is appointed by the Senate President for a two-year term.

8. *The Library Committee* consists of one elected representative from each college or school (except in the case of Arts and Sciences, from which there are three representatives), one from each of the major divisions of the college, two students designated by the Undergraduate Academic Council, one graduate student elected by the Graduate Student Association, and (ex officio) the Vice Chancellor for Academic Affairs, the Associate Vice Chancellor and Dean of Undergraduate Academic Affairs, the Associate Vice Chancellor and Dean of The Graduate School, and the Dean of Libraries (or their designate).

This committee is concerned with suggestions for library improvement made by faculty and students and is a sounding board for projected policies and procedures planned by the Library administration, and aids the Library in presenting campus library needs to the University administration.

9. *The Nominating Committee* consists of five elected members of the Senate, none of whom may be a member of the Committee on Committees.

This committee nominates two candidates for President-Elect. The committee solicits nominations from the University Faculty at large and prepares a ballot which includes biographical information on all candidates.

10. *The Budget Committee's* role is (1) to provide for campus-wide faculty input into the University budgeting process; (2) to encourage the use of faculty expertise in budget matters; (3) to inform the faculty, through the Senate, concerning budget matters. Both long-range and short-term aspects of its role will receive the committee's attention, including budget priorities, THEC formulas, and system-campus fiscal relationships. The primary concern is policy along the above lines: The committee is not expected to become involved in the detailed and comprehensive investigations necessary as a basis for budget decisions.
11. *The Faculty and Staff Benefits Committee* makes recommendations to the Senate and cooperates with fringe benefits committees from other higher education campuses across the state with respect to policies on retirement, leave, faculty welfare, insurance, and other fringe benefits.
12. *The Legislative Committee* is chaired by a faculty member and is concerned with presenting information and assessments of campus needs from a faculty viewpoint to the State Legislature especially through communication with the Knox County Legislative Delegation.
13. *The Bylaws Committee* consists of five elected members of the Senate, with the President-Elect serving as chairperson. This committee annually reviews the Bylaws and makes appropriate recommendations to the Senate for amendments. It also reviews any revisions suggested by members or committees of the Senate.
14. *The International Education Committee* is chaired by a faculty member and includes one undergraduate and one graduate student representative and

(ex-officio) the director of the Center for International Education and the Chair of the Research Council.

This committee considers international education and research issues and makes recommendations on curricular and policy matters to the Faculty Senate and the Graduate or Undergraduate Councils. It promotes international research and faculty exchanges in cooperation with the Research Council. This committee publicizes the availability and criteria for the Rhodes, Fulbright, and other such awards. The committee screens student applicants for these awards.

15. *The Professional Development Committee* has a minimum of nine elected faculty members representing the diversity of programs on the campus. Ex-officio members are the Vice Chancellor for Academic Affairs (or designate) and the Associate Vice Chancellor and Dean of the Graduate School.

This committee works toward improving the professional effectiveness of faculty members at UTK by seeking to promote attitudes, skills, and behaviors of faculty members that improve their competence and effectiveness in meeting student needs, their own needs, and the needs of the institution.

*Committee Reports.* Each standing or special committee submits a written report to the Senate at least once during the academic year.

## 1.7 FACULTY GOVERNANCE WITHIN ACADEMIC UNITS

The most direct responsibility of the faculty in University governance is to determine the shape of the academic programs, all of which must be approved by vote of the Faculty Senate as described above. A less direct but no less important role of the faculty is to advise University officers about certain administrative matters that are intrinsically related to the health and credibility of the University. These matters include:

- 
1. the appointment and retention of the faculty;
  2. the promotion of faculty and the awarding of tenure;
  3. the assessment of faculty performance;
  4. the adjudication of disagreements, grievances, or conflicts in faculty affairs;
  5. the selection of University officers;
  6. the determination of University priorities; and
  7. the establishment of principles for determining salaries.

X/ The voice of the faculty in these areas is indispensable. Its advice cannot be lightly given or peripherally received. Everything depends upon the mutual respect and sensitivity of the faculty and the administrative officers. The principle of this relation is collegiality. The officers are colleagues who have been assigned specific administrative responsibilities. The faculty are colleagues whose advice and counsel must inform the

exercise of those responsibilities. The relation of the faculty to the officers is not that of employees to employers or that of administrative inferiors to administrative superiors, since the faculty member is by definition not an administrative officer. The employer both of faculty and of officers is The University of Tennessee, or more specifically the Board of Trustees, which has delegated to each a set of specific responsibilities that can be successfully discharged only with the support and counsel of the other. //\*

Another way to say this is that the faculty are members of a profession whose services have been obtained by the Board of Trustees through its administrative officers on behalf of the University and for the sake of the ultimate clients of the profession.

### **1.7.1 Faculty Role in Appointments and Faculty Development.**

\* The faculty in each unit are consulted by their Head in a full and reasonable manner prior to the inauguration of searches for and appointment of new faculty, and in connection with the retention, termination, promotion, and tenure of faculty. It is reasonable to expect that the faculty will have ample opportunity to discuss as a group the alternative staffing needs and goals of the department, to consider alternative ways and means of meeting these needs and reaching these goals, and, if they wish, to make collective as well as individual judgments about them as advice to the Head. It is reasonable also to expect that the advice of some members of the faculty will weigh more heavily with the Head than will that of others. For instance, decisions about tenure (see Chapter 2) are properly the concern of the tenured faculty.

### **1.7.2 Faculty Role in Tenure and Promotion Deliberations.**

The Head is specifically obliged in all tenure considerations:

1. to make sure that all relevant materials about candidates for tenure are available to the tenured faculty in reasonable time for careful study and deliberation;
2. to call the tenured faculty together as a group and to allow full discussion of the merits of the candidacy;
3. to receive from the tenured faculty a collective recommendation as to tenure; and
4. to take note of any and all such recommendations, along with those given individually or privately, in his/her recommendation to the Dean.

(Where the Dean is the first administrative officer, the same obligations pertain.)

HEAD & DEAN must  
own own  
The Head is not obliged to follow the majority recommendations of the tenured faculty, but in the event of disagreement the Head must explain to them frankly and openly the decision he/she has reached; and the Head, further, must give the faculty an opportunity to submit, along with his/her recommendation, a dissenting report to the Dean. In any event the tenured faculty vote must be reported and explained to the Dean.

In promotion considerations the Head is expected to seek the advice of the faculty at and above the rank to which the faculty member would be promoted. Again, faculty at such ranks should have opportunity to meet as a group, to discuss the merits fully, and to



render a collective judgment if they so desire. The Head is expected to make his/her recommendation in such a way as to take full account of that deliberation, with similar concern to make clear to the Dean the nature of the faculty opinion.

Both in promotion and tenure, the Head may need or want to ask departmental committees to prepare appropriate evaluations before fuller faculty discussion. The Head may also want to listen to the advice of colleagues from other departments, colleges, or universities; to the advice of students; or to junior and untenured members of the department. The importance and weight given to such advice will naturally vary. Faculty whose expertise is very close to that of the person being considered for appointment, retention, tenure, or promotion will usually be able to provide the Head with more useful advice than will those whose specialties are more remote.

The Head is expected to take all reasonable steps to be fully informed about the quality of performance of each member of the department. Colleagues are inevitably a major source of this information. Their judgments about the quality of a person's teaching, research, advising, institutional service, and public service are thus of major importance. The Head's responsibility is to gather and weigh such information in a fair, honest, and humane way, looking to the best interests of the department and the University. Regular conferences with each faculty member for performance review and evaluation, taking place at least once each year, are essential.

Any recommendation by a Head affecting the tenure, promotion, or retention of a faculty member will be accompanied by a summary of faculty opinion.

### ***1.7.3 Faculty Role in Selection of University Officers.***

All officers who have responsibilities touching or affecting the academic programs of the University must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. That is why the University seeks always to ensure appropriate faculty participation in the appointment of the officers.

The faculty of each academic unit also plays an important role in the evaluation of officers assigned to it and in the search for new persons to fill such positions when they become vacant. Each year the members of each department are asked to submit a confidential evaluation of the Head. When headships become vacant, faculty members are expected to serve on search committees, to interview prospective candidates, and to submit evaluations of those candidates. This participation in the ongoing renewal of the leadership is among the most important ways in which faculty judgment informs the administration of the University.

### ***1.7.4 Faculty Role in Budget Making.***

Faculty judgments about the academic program have significant bearing on the shape of the budget, and budgetary decisions affect the shape of the academic programs. The faculty are asked to participate in establishing major institutional priorities in several ways. In the most fundamental sense the Faculty Senate, through its Undergraduate Council, Graduate Council, and Educational Policy Committee; gives approval for

establishing new programs and for terminating existing ones. Administrative judgments about the costs of these programs inform this deliberation and in turn are affected by the judgments of the faculty as to the pedagogical and intellectual soundness of such proposals. Deans, Department Heads, and the Vice Chancellor for Academic Affairs consult with appropriate faculty groups at their respective levels concerning the general fiscal implications of decisions about the curriculum, enrollment, class-size, and admission policies.



## **1.8 MEETINGS OF THE FACULTY**

The faculty holds an annual fall meeting called by the Chancellor. It may meet at other times upon petition of ten percent of the faculty.

## **1.9 ADMINISTRATIVE COMMITTEES**

Each year the Chancellor appoints more than a dozen administrative committees to provide advice on important matters affecting the faculty, staff, and students of UTK. The Chancellor's Administrative Committees are an integral part of the management and administration of the UTK campus.

These committees address issues of importance in university life and make recommendations to the Chancellor, the Chancellor's staff, and other appropriate bodies. Their actions, input, and presence contribute to the culture of the campus. Through the working of these committees, the Chancellor continuously improves campus policies related to financial aid, international education, and cultural affairs, to name a few. Currently, the administrative committees are:

- Academic Hall of Fame Board of Governors
- Advisory Committee on Student Financial Aid
- Campus Beautification Committee
- Charter Day Committee
- Commission for Blacks
- Commission for Women
- Council on International Education
- Cultural Affairs Board
- Recreation, Entertainment, and Social Board
- Residence Classification Committee
- Student Affairs Council
- Student Publications Board
- Traffic and Parking Authority
- University Calendar Committee

## 1.10 PREPARATION OF THE BUDGET

Budgeting at UTK involves seven distinct levels of discussion: department, college (or school), UTK central administration, statewide administration, the Tennessee Higher Education Commission (THEC), the Governor's Office, and the State Legislature. There are two primary labors in the budgeting process: requests and allocations. The two are relatively independent tasks—allocations are not precisely correlated with the data on which requests are based.

*Budget Requests.* The budget request for UTK and the other public institutions of higher education in Tennessee is determined by a formula created (and constantly reviewed and updated) by the THEC. General information concerning changes in the formula is made available to the faculty through the Faculty Senate Budget Committee. THEC is an organization appointed by the Governor to coordinate Tennessee's public institutions of higher education, particularly with regard to the varying roles of each of those institutions, and to the equitable distribution of state funds for higher education.

The THEC formula is designed to provide equivalent educational activities with equivalent support; the formula does not evaluate the quality of those activities. The formula has two parts: expenditures and revenues. It is concerned only with "unrestricted funds." "Restricted funds," such as gifts and Federal research grants, are not included. The formula generates expenditure requirements for each institution. Revenues are projected for each institution from sources other than State appropriations, such as fees, interest income, etc. These estimated revenues are subtracted from estimated expenditures, and the difference represents the request for State appropriations.

A request is sent to the Governor, who then recommends to the Legislature a budget for all higher education.

*Budget Allocations.* The budgeting process is seasonal: in the summer and fall of the year, institutional units prepare the data for the funding formula. The central campus administration consults with the Faculty Senate Budget Committee about priorities. In winter, when the requests have gone to the Legislature for debate and discussion, the campus begins the process of determining how the funds appropriated by the Legislature will be spent.

Allocation has three steps, beginning at the department level.

*Step 1:* A budget for that unit (utilizing current salary levels) is constructed on the basis of previous experience, projected enrollments, and new activities. This budget is submitted by the Head to the appropriate Dean, who may either accept the budget or recommend a revision. When the departmental unit has constructed a budget acceptable to the Dean, both the departmental and the college budgets are submitted to the Vice Chancellor for Academic Affairs. Budget and planning hearings are conducted by the Vice Chancellor for each college.

*Step 2:* As the legislative budget takes shape, a determination is made of the funds likely to be available for salary increases, and a recommendation for

individual salary levels is made by the Head to the Dean, and then to the Vice Chancellor for Academic Affairs.

*Step 3:* Upon final action by the legislature and the governor, a decision is made by the central campus administration about the relative proportion of money to be allocated to salaries and to cover other expenses. A final allocation is then made based on that decision, and the resulting budget is submitted to the President and the Board of Trustees for approval.

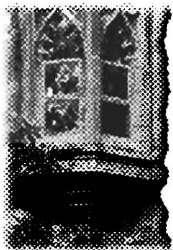
## **1.11 MAJOR UNIVERSITY PUBLICATIONS\***

1. Undergraduate Catalog.
2. Graduate Catalog.
3. Personnel Policy Manual (contains all current official personnel policies and the UTK procedures for implementing these policies; includes hiring and termination procedures; leave, absence, and vacation policies).
4. Fiscal Policies and Procedures Statements (contains all current official statements of University policies and procedures related to funds, including billing, accounting, and depositing procedures).
5. Faculty Handbook.
6. *Hilltopics*: the UTK handbook for students (includes statements of rights, responsibilities, appeals procedures, rules governing student organizations).
7. UTK Guide to Scholarships (contains comprehensive description of procedures for establishing, maintaining, and awarding both annually funded and endowed scholarships).
8. Charter and By-laws of the University (contains statement of legal establishment of the University, including charter provisions and by-laws).
9. Faculty/Staff Directory (contains campus and home telephones and addresses).
10. Student Directory (contains campus and home telephones and addresses).
11. Affirmative Action Plan (describes the comprehensive plan for ensuring equal employment opportunity and appropriate affirmative measures for all UTK employees; also contains procedures for presenting and investigating complaints of discrimination).
12. Benefits and Services (describes fringe benefits and insurance plans available to University employees).
13. Research Information Manual (describes policies and procedures for research).

14. The UTK Mission Statement (outlines the fundamental mission of the University of Tennessee, Knoxville).

15. Traffic and Parking Regulations (describes rules, regulations, procedures, and penalties relating to parking and traffic on the University campus).

\* Each department is expected to maintain a copy of these publications in a central location available to every faculty member.



# Appointment, Promotion, And Tenure 2

## 2.1 PROCEDURES FOR APPOINTMENT

Faculty are appointed to positions at the University in the following manner:

1. A Department Head obtains authorization to begin a search for a new faculty member, based on a demonstrated need of the department's academic program and availability of money for the position. The position may be new or a replacement for someone who has resigned, retired, gone on leave, or otherwise left the University. Because of budget uncertainties, the authorization of a search does not necessarily mean that an appointment will be made. *From whom?*
2. The University is fully committed to affirmative action at all levels. Therefore, efforts must be made by the department to ensure that qualified individuals are made aware of the vacancies.
3. A thorough search and careful selection precedes any departmental recommendation of appointment. The length and complexity of this process depends upon the nature of the appointment (temporary, part-time, junior, senior, visiting, etc.). First, the Head consults with the departmental faculty about the needs of the program and about the progress of searches that have been authorized. A faculty search committee is normally asked to assist the Head in identifying suitable candidates. The principle is that the departmental faculty, as a group and individually, must have full opportunity to help determine the kind of person needed, the search procedure to be followed, the basic pool of candidates, the persons to be selected for interview, and the final choice. At each of these stages, final responsibility for the departmental recommendation rests with the Head. If the Head's recommendation diverges from that of the faculty, the Head is expected to explain his/her reasons in detail to the faculty.
4. Faculty status may be granted to a newly appointed administrative officer upon review and evaluation by appropriate faculty and recommendation of the appropriate Department Head.
5. Following the decision to recommend appointment, there may be informal discussions concerning rank, salary, and other terms of employment between the Head and prospective faculty member. Such discussions inform the recommendations of the Department Head but do not constitute a binding commitment by the University.

6. ~~Notification of appointment is made~~ by letter from the Vice Chancellor for Academic Affairs. This letter of appointment specifies (a) rank, (b) salary and related financial conditions, (c) probationary status, indicating that he or she will be advised annually of his/her retention status and progress toward tenure and promotion, (d) the academic year during which a tenure decision must be reached, (e) general duties and expectations, and (f) the appropriate peer group to be consulted during promotion, retention, and tenure considerations. Previous correspondence between the Department Head, Dean or Director, and prospective faculty member concerning these matters is unofficial and not binding on the University.
7. Written acceptance of the letter of appointment, together with execution of normal University employment forms, completes the initial agreement of employment between the University and the faculty member.
8. The faculty member is officially notified of subsequent salary adjustments or changes in rank, title, or assignment by letter from the Head, Dean, or Director. Notification of an award of tenure is given by letter from the Chancellor. Any other oral or written representations concerning such adjustments and changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

*Terms and Renewals.* Generally regular appointments are for one year beginning August 1 and ending July 31. Renewals are made annually by placing personnel names in the budget approved by the Board of Trustees.

## **2.2 CRITERIA FOR APPOINTMENT TO FACULTY RANK**

Criteria for appointments to the several faculty ranks are complex. They reflect the rigorous preparation necessary for University teaching and research, the varied expectations directed to the faculty of a major university, and the diversity of missions performed by academic units. Each faculty position has its own distinctive requirements, but the University has established the following minimal criteria. Deficiencies in some respects may be balanced by unusual excellence in others.

In addition to the expectations listed for each rank below, the University requires the Head to determine and attest that each person appointed to the faculty is competent in written and spoken English.

*Professors* are expected:

1. to hold the doctorate or other terminal degree of the discipline, or present equivalent training and experience appropriate to the particular appointment;
2. to be accomplished teachers;
3. to have achieved an nationally recognized established scholarly or creative professional record;

4. to have participated significantly in the professional work of the discipline, in ways other than teaching and research;
5. normally, to have served as an associate professor for at least five years; and
6. to have shown beyond doubt that they can work well with colleagues and students.

*Associate Professors* are expected:

1. to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. to be good teachers;
3. to have a recognized scholarly or creative professional record;
4. to have participated with promise in the professional work of the discipline, in ways other than teaching and research;
5. normally, to have served as an assistant professor for at least four years; and
6. to have demonstrated clearly that they can work well with colleagues and students.

*Assistant Professors* are expected:

1. to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. to show promise as teachers and scholars, and to have begun a definite program of research or creative professional work; and
3. to show evidence that they can work well with colleagues and students.

*Instructors* are expected:

1. to hold the master's degree, or equivalent training and experience as appropriate to the particular appointment;
2. to show a clear interest in good teaching;
3. to show a clear interest in a program of scholarship or other professional work;
4. to have established an excellent scholastic record as a student; and
5. to show evidence that they can work well with colleagues and students.

In all of these ranks, concerned and effective advising and responsible service to the University are understood to be part of the normal task of teaching, as is working well with colleagues and students.



### **2.2.1 Emeritus Rank**

Upon the recommendation of the Department Head and Dean, the University awards the rank of Emeritus to persons who have retired with the rank of Professor, and in special cases of long and meritorious service also to persons who have retired with the rank of Associate Professor or Assistant Professor.

## **2.3 CLASSIFICATIONS OF APPOINTMENT**

Faculty members are appointed to one of the following appointment classifications:

1. Regular, full-time, academic-year

2. Regular, part-time, academic-year

(Such appointments involve full-time or part-time service for the nine-month academic year. Salary is paid in twelve monthly installments from August 1 through the following July 31, and is considered as being earned at the rate of one-half of the annual salary for each of the two regular semesters — Fall and Spring. )

3. Regular, full-time, twelve-month

4. Regular, part-time, twelve-month

(Such appointments involve full-time or part-time service on a continuing basis for a period of not less than twelve months. Salary is paid each month and is considered as earned on a month-by-month basis. Holders of such appointments are entitled to vacation and sick leave accruals in accordance with established University policies, as described in Chapter 3.)

5. Full-time Term, academic-year

6. Part-time Term, academic-year

(Such appointments involve full-time or part-time service for a specified period of time with total salary for such service to be paid over less than a twelve-month period.)

## **2.4 SPECIAL FACULTY TITLES**

*Endowed Chairs, Professorships, Fellowships.* The University has received endowments to fund chairs, professorships, and fellowships. The nominations for these positions are made by the colleges. These positions may provide a salary supplement, additional research funds, secretarial support, graduate student funding, or release time to pursue research/creative projects.

*Distinguished Professors.* This title is awarded to candidates at the rank of professor who have displayed an exceptional record of teaching, research and/or creativity, and service.

*Chancellor's Teaching Scholars.* This title is awarded to associate professors or professors who have held a faculty appointment at UTK for at least 5 years and have demonstrated excellence in teaching and instructional development. These scholars meet with the Chancellor to discuss and promote teaching issues and lead seminars for

faculty and GTAs on teaching issues.

*Distinguished Scientist.* Appointments as Distinguished Scientists are awarded to faculty who have “helped significantly to raise the research profile of UTK.” These are “world-class researchers,” paid 50/50 by UT and the Oak Ridge National Laboratory (ORNL) under the auspices of The Science Alliance, a center of excellence at UTK, established in 1984 by the Governor and the Tennessee Legislature, with the support of THEC.

## 2.5 JOINT AND INTERCAMPUS APPOINTMENTS

*Joint appointments* involve participation in the teaching and research of two or more departments. The primary department with which the faculty member is affiliated, through which all matters of promotion, salary raise, and tenure are processed, is the “home” department. On all matters there must be appropriate consultation between the “home” department and the department head and faculty of the other academic unit. Where joint appointments involve equal time in two or more departments or service primarily within an interdisciplinary program, it is the shared responsibility of the heads, deans, or other administrative officers to make appropriate recommendations; and in such cases one of the two departments should be designated as the “home” department. The original appointment letter must specify the faculty member’s home department, administrative reporting relationships, and the peer group(s) to be consulted in tenure and promotion recommendations. The University recognizes that as the shape of knowledge changes, new disciplinary and interdisciplinary needs may emerge which do not precisely correspond to existing administrative or departmental lines at UTK.

*Transfers* from one UTK campus to another follow procedures outlined above for all other appointments. Advice from the faculty, recommendation of the Head, and approval of the Dean, Vice Chancellor for Academic Affairs, and Chancellor are all necessary. All aspects of the new appointment—title, rank, term of appointment, and tenure—are freshly determined. This renegotiation does not jeopardize the faculty member’s participation in group insurance, retirement plans, and other standard employment benefits of the statewide University.

*Intercampus academic appointments* are sometimes authorized when it appears that a faculty member at one campus has expertise that qualifies him/her for participation in the work of a department on another campus, and when the department has need of his/her services. The definition and extent of such intercampus participation is determined by mutual agreement between the faculty member and the heads, directors, or chairpersons in consultation with appropriate faculty of the academic units involved, and the respective deans, vice chancellors, or other campus officers. In these cases, the following guidelines are observed:

1. The appointment is normally without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment); tenure and salary continue to be linked with the base or “home” department.

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1. The appointment is normally without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment); tenure and salary continue to be linked with the base or “home” department.

2. The head of the base department recommends the intercampus appointment to the head of the cooperating department, following informal discussion or negotiation.
3. The appointment is made by the cooperating department with approvals by the Dean, Vice Chancellor for Academic Affairs, and Chancellor.
4. The title of the faculty member in the cooperating department is determined by mutual agreement between the head and the faculty member, subject to approval by the Dean, Vice Chancellor for Academic Affairs, and Chancellor.

## **2.6 SPECIAL CHARACTERISTICS OF PART-TIME APPOINTMENTS**

(See also Appendix 5.)

The University makes important use of the service of part-time faculty in many departments and programs. Part-time faculty are identified, employed, reviewed, counseled, encouraged, retained, or terminated as part of a coherent academic plan. (See the section above, on the appointment of faculty; stipulations there given to faculty on identification of need, searches, appointment, and review apply, as far as is reasonable and practical, to part-time appointments.)

The duties, expectations, and rights of part-time faculty are defined at the time of appointment. Such agreements are periodically reviewed as needed.

Part-time faculty should be knowledgeable about the mission and objectives of the department in its relations to the institution as well as about the conditions (curriculum, general rules, and policies) under which students are taking the course or under which the research fulfills the institution's objectives. Toward this end it is important, wherever possible, for part-time faculty to receive appropriate departmental and University communications, to attend departmental meetings, as well as appropriate public events, seminars, and symposia, and thus share something of the life and ethos of the University. If in particular cases such participation is not desired by the individual or by the department, that is noted at the time of appointment.

### ***2.6.1 Continuing Part-time Faculty***

The designation of "Continuing Part-time Faculty" is meant to confer an employment preference over those part-time faculty who are not so designated. It does not include tenure track status, the acquisition of tenure, or the equivalent of tenure; it is meant to ensure an orderly and fair method of evaluating sustained performance and to guarantee reasonable procedures for the negotiation and formation of stable employment agreements. As between non-tenured full-time faculty and continuing part-time faculty, general budgetary and staffing decisions are decided on a case by case basis.

The negotiation of continuing part-time appointments is often preferable to temporary arrangements. Department heads and deans are encouraged, in consultation

with their faculties, to plan the program of teaching and research so as to avoid undue need for temporary appointments. Depending on the availability of resources, certain benefits will be available to continuing part-time faculty. These benefits are stated in Chapter 3.

Continuing part-time faculty, where appropriate, participate and vote in departmental deliberations. They are given a full and fair opportunity to share in or compete for available research support, development grants, and similar opportunities for professional growth.

In line with the following principles, the department head may, after consultation with appropriate faculty, recommend to the Dean that a part-time faculty member be considered "Continuing Part-time":

1. The appointment should be ongoing—that is, there must be a reasonable expectation that the individual's expertise will be required in the academic program for the foreseeable future.
2. The employment should normally include at least one semester of service each year.
3. The faculty member must have served at least eight academic semesters of employment, not necessarily in succession. Prior University service or professional experience may be taken into account. The usual procedures for review of credentials, faculty vote, Head's recommendations, approval of Dean and Vice Chancellor for Academic Affairs are followed.

The University has no obligation to grant continuing part-time status to any part-time faculty and will do so only upon the specific initiative and recommendation of the department head in consultation with appropriate faculty, consistent with the principles specified above, and with approval of the Dean, Vice Chancellor for Academic Affairs, and Chancellor. The case for consideration must be strong and consistent with the University's commitment to a flexible but fair academic personnel policy. Individuals who desire such status but whose petition has not been approved by the department head may, after using the normal route of appeal through the Dean to the Vice Chancellor for Academic Affairs, ask the Faculty Affairs Committee of the Senate to review the matter.

Continuing part-time faculty who wish to be considered for full-time positions in their disciplines when such positions become available should submit a written letter of application to the department head indicating this interest. Such application will be given full and fair consideration by the department. If a continuing part-time faculty member is appointed as a regular full-time faculty member, prior service in continuing part-time status may be taken into consideration in establishing the probationary period. The length of the probationary period will be specified in the letter of appointment to regular full-time faculty status.

## 2.7 GRADUATE STUDENT APPOINTMENTS

Programs of graduate study are designed to transform students into knowledgeable practitioners or professional scholars. Many graduate students are appointed to one of four types of graduate assistantships. The assistantships are intended to enhance the prompt and successful completion of a student's graduate degree program while providing valuable professional experience. They should not interfere with the student's educational objective. (The full text of the Graduate School policy on graduate student appointments [10 July 1990] can be obtained at the Office of Graduate Admissions and Records, 218 Student Services Building.)

*Graduate Teaching Assistant:* Graduate Teaching Assistants work under the direct supervision of a regular faculty member in activities such as helping to prepare lectures, teaching discussion sections, conducting laboratory exercises, grading papers, and keeping class records. In consultation with the supervisor, the Teaching Assistant works to gain teaching skills and an increased understanding of the discipline. Appointments are normally on a one-fourth to one-half time basis and the annual stipend is payable in either nine or twelve monthly installments. The assistantship is accompanied by a waiver of tuition and maintenance fees for the period of appointment.

*Graduate Teaching Associate:* Exceptionally experienced graduate students may be assigned primary responsibility for teaching undergraduate courses, including the assignment of final grades. The Teaching Associate usually carries one-fourth to one-half of a normal teaching load. The annual stipend is payable in either nine or twelve monthly installments, and the appointments include a waiver of tuition and maintenance fees for the period of appointment.

*Graduate Assistant:* Graduate Assistants are appointed to perform various duties other than those related directly to teaching. The annual stipend is payable in either nine or twelve monthly installments. The assistantship is accompanied by a waiver of tuition and maintenance fees for the period of appointment.

*Graduate Research Assistant:* Research Assistantships are generally financed through gift, grant, or contract funds. Persons holding such appointments pursue a work and study program like that expected under other types of awards. Graduate Research Assistantships are accompanied by a waiver of tuition and maintenance fees for the period of appointment.

## 2.8 SUMMER TERM APPOINTMENTS

*Summer Term Employment and Compensation.* Faculty holding regular full-time academic year appointments or regular part-time academic year appointments may teach up to six hours during the Summer Semester. (Exceptions to this limitation may be granted by petition to the Vice Chancellor for Academic Affairs.) Faculty are paid extra compensation for summer term teaching at a rate not to exceed 1/32 of annual salary base for each credit hour taught.

Appropriate percentages of full-time effort and pay are arranged by the Department Head, Dean, and Vice Chancellor for Academic Affairs.

## 2.9 SEMESTER BANKING

Faculty who hold regular full-time academic year appointments may upon approval substitute summer term(s) for other terms in the academic year. Permission may be granted to substitute summer terms of teaching, or to "bank" such terms toward extended periods of release from regular duties during other terms. The need of many faculty upon occasion to devote large uninterrupted amounts of time to a single research or creative project without teaching or committee work and to spend time periodically in personal renewal and development, is fundamental to every good university. This arrangement is subject to the following conditions:

1. No pay can be authorized for service before it is performed; the summer terms must be served before the substitute terms. The duties performed during the summers in question must include the full range of duties performed during the regular terms (advising, committee work, etc.).
2. The needs of the department or program will be a major consideration in evaluation of requests to make such substitutions.
3. The financial and educational resources of the department or unit must not be jeopardized to effect the substitution.

## 2.10 FACULTY DUTIES AND WORKLOAD

The Board of Trustees has approved the following statement of faculty duties and responsibilities for UTK.

The assigned workload for full-time faculty shall consist of a combination of teaching, advising, research, and/or creative activities and institutional and/or public service. The individual mix of these responsibilities shall be determined by the Department Head, in consultation with each faculty member, with review and approval of the Dean and Vice Chancellor for Academic Affairs.

The normal maximum teaching load for a full-time faculty member engaged only in classroom teaching shall be 12 credit hours each term of the academic year. The precise teaching load for each individual shall be based on such things as class size and the number of examinations, term papers, and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations shall be used to determine teaching load.

The classroom teaching load may be reduced by the Department Head for other justifiable reasons including student advising, active involvement in research and/or creative activities (with publications or other suitable forms of recognition), direction of graduate theses or dissertations, administrative duties, and institutional and/or public service.

The teaching of non-credit courses or workshops and participation in externally-funded university projects may be substituted by the University for an equivalent number of credit courses.

## 2.11 FACULTY DEVELOPMENT AND EVALUATION

The University seeks to make clear to each faculty member from the start both the general expectations directed to all faculty and the specific duties that go with appointment in the department or academic unit.

*Regular conferences.* The Department Head is required to schedule regular conferences with each member of the faculty to make plans, set goals and objectives, and review performance as part of an ongoing concern for making each person an effective and responsible participant in the definition and achievement of the University's mission.

In such conferences, which are held at least once each year, accomplishments are compared with the specific goals that the faculty member and the Head have previously set. The nature of this discussion is highly individual, reflecting the personal interests and talents of the faculty member quite as much as the general definition of standard accomplishment.

This process is subtle and demanding; it must take account of all the diverse constituencies and activities that occupy a faculty member's time, and it must evaluate them all—teaching, students, colleagues, laboratory, library, committee, the public. The central aim of such conferences is the improvement of performance, the enablement of shared ambitions and projects, and the enhancement of the sense of this sharing through honest, realistic assessments given, received, and discussed.

UTK faculty development policy aims to realize the following:

1. clear, mutually agreed upon individual objectives;
2. appropriate, clearly understood standards, methods, and procedures for assessing the degree of achievement of objectives;
3. provision of the necessary support (resources, environment, personal and official encouragement) to do the job;
- 4. honest judgments by peers and administrative colleagues, reflecting reliable assessments of achievement; and
5. appropriate recognition and reward for good work.

All five of these ingredients should be amply and regularly reviewed by the faculty member and the Head. A written document summarizing the conferences and signed by both participants is encouraged.

*Teaching evaluation.* There are two distinct purposes and uses of teaching evaluation: (1) evaluation to be used in decisions about salary adjustment, promotion, and tenure and (2) evaluations to be used diagnostically, for purposes of improvement and development. These two purposes are represented by two distinct procedures at UTK.

- (a) *Student evaluation of teaching:* Each term a standardized student evaluation (CTEP) of each course is conducted through the Program and Evaluation Office of Academic Affairs. Detailed results of this evaluation are communicated to the faculty member responsible for the course and to the Department Head.



- (b) *Peer evaluation of teaching*: A peer evaluation of the teaching of tenured faculty members is mandated by the Senate and Vice Chancellor and is conducted regularly by each department. Tenure-track (probationary) faculty (see below) undergo this peer evaluation at least every two years; annual evaluations are encouraged. Guidelines for the peer evaluation are determined by each unit to meet their special needs.

## **2.12 SALARY**

Salary recommendations are made by the Head after consideration of a number of factors, including career longevity, recent performance, and general salary levels of the discipline and rank. The Head is expected to share with the departmental faculty as a whole his/her general principles and reasoning in determining salary recommendations. Faculty members may appeal salary determinations, using the procedures discussed in Chapter 3. Committees of the Faculty Senate regularly review priorities for budget allocations for salaries.

Recommendations for salary adjustments are reviewed and approved, disapproved or altered by each of the following officers: Dean or Director, Vice Chancellor for Academic Affairs, Chancellor, President. The Board of Trustees must give final approval. A principle to be applied is that all decisions be made known to responsible or affected persons.

Disapproval or alteration of salary adjustments at any level will be communicated through the administrative line to the Head.

## **2.13 PROMOTION**

The criteria for promotion to a rank are the same as those given above for initial appointment to that rank.

Early in the academic year persons who want to be considered for promotion are asked to submit all materials relevant to this consideration. The Department Head will, after consultation with the faculty member, solicit letters of reference from at least three and preferably four to six persons at other universities whose expertise is close to that of the candidate and who are able to provide authoritative and thoughtful evaluation of the candidate's written work or other suitable evidence of performance. Letters should not be from a former thesis advisor, postdoctoral mentor or collaborators; in any circumstance a letter from such persons must be carefully justified. These letters will be available to the senior faculty prior to their deliberation on promotion. The file (excluding outside letters and the department report) that is forwarded to the Dean by the Department Head must be made available to the candidate for promotion, who is asked to attest in writing that he/she has inspected the factual file prior to any action by the Department Head.

*Departmental faculty review and vote.* All department faculty at or above the rank for which the candidate is being considered should examine the material relevant to the decision. A meeting of these faculty (or as many of them as can be gathered upon due notice from the Head — in no case less than a quorum of those eligible to attend such a

meeting) will be called that will allow ample time for debate and discussion of the record; and a vote, organized as provided for in the department bylaws, will be taken and recorded. This report is advisory to the Head, who will, in forwarding his/her recommendation to the Dean, also provide a brief summary of his/her judgment, explaining any disagreement with the faculty opinion as expressed in their report.

*Differences between the Head and the faculty.* If the Department Head's recommendation is not the same as that of the faculty, he/she will explain to the faculty the reasons for the decision. The Department Head will remind the faculty of their right to forward a dissenting report if they do not agree with the Head's findings.

*Right of the faculty member to timely review for promotion.* The Department Head may not indefinitely postpone holding a formal promotion consideration for a faculty member. A person who has been in rank for two years beyond the stipulated years required before promotion to the next rank but has not yet been formally considered for promotion has the right to request and be granted a formal promotion review. If the promotion should not be approved, after three years the individual has the right to request and be granted another formal review. Subsequent requests may be made and granted at the same interval.

*Review of negative departmental promotion decisions at the college and central administrative levels.* All promotion decisions, whether positive or negative, and whether or not reached after a review formally requested by an individual (see previous paragraph), will be reviewed by the Dean and Vice Chancellor for Academic Affairs.

*The College Promotion and Tenure Committee.* Before making his or her recommendation, the Dean will forward the departmental recommendation (the complete file containing letters from the Head and the Department) to the College Promotion and Tenure Committee.

This Committee, which may vary in size in different colleges, will consist of tenured faculty appointed by the Dean of the College. The Dean may serve as non-voting chair of the committee. Committee membership should represent the diversity of disciplines and academic missions in the college. Membership will be for three years, with one-third of the members being replaced each year.

The Committee will limit its deliberations to the review of the factual content of the complete file as forwarded. If additional material is submitted to the Committee either through the Dean or independently, the Committee may not consider it unless the Committee decides to make that material available to the Department and to the candidate and invites a written response from each. Ordinarily no such additional material will be accepted for review by the Committee. It is the responsibility of the Committee Chair to see that any additional materials are reviewed by the Department and the candidate in the manner stipulated.

The Committee will consider the recommendation, will take its own vote, and will send its written recommendation (with the exact recorded vote) to the Dean.

If the Committee disagrees with the Departmental recommendation, or if the

Department Head's recommendation is different from that of the majority of the voting department faculty such that the Committee vote is at odds with either the Head or the departmental faculty majority, the Committee's written report must carefully explain the position it has taken. The Committee will forward its recommendation to the Dean.

*Dean's recommendation to the Vice Chancellor for Academic Affairs.* Upon receiving the recommendation of the College Committee, the Dean will make his/her own recommendation, forwarding the entire file to the Vice Chancellor for Academic Affairs.

*Vice Chancellor's recommendation to the Chancellor.* The Vice Chancellor for Academic Affairs will review the entire promotion file and make his/her recommendation to the Chancellor. If in reaching his/her decision the Vice Chancellor determines that more information is necessary, he/she will advise the Dean, Department Head, and candidate what additional information he/she has sought or received and will give each an opportunity to comment upon that information in writing.

*Chancellor's decision.* The Chancellor will review the entire promotion file and render a final decision. Any new information required or used by the Chancellor will be made available to the Vice Chancellor, Dean, Department Head, and candidate, in the manner specified above for the Vice Chancellor.

## **2.14 RESIGNATION AND RETIREMENT**

*Resignation.* Tenure (see below) is forfeited upon resignation from the University. If a faculty member who has resigned should later be employed again by the University, tenure will be awarded only subsequent to the procedures outlined below.

Since faculty appointments are made for the academic year (or, in exceptional cases, for one or more designated semesters), it is expected that faculty members who wish to resign will do so effective at the end of the academic year (or, again in exceptional cases, at the end of a semester). In all cases notification of resignation must be made early enough to allow the University to make plans for covering any assignments that may have been projected.

Teaching faculty on academic year appointments who resign before the end of the academic year are paid for the number of semesters they have taught (including semesters banked), at one half of annual salary per semester. Faculty members on twelve-month appointments will receive leave pay due on resignation, including a pro rata share of annual leave.

*Retirement.* The effective date of retirement for academic-year faculty is normally at the end of either the Fall or Spring Semesters. Computation of the final payment for the last year of service is calculated in the same way as for resignations (above). Thus, a faculty member who resigns at the end of the Fall Semester will have been paid five of the six monthly payments earned and will be due one additional payment. Faculty on twelve-month appointments will receive leave pay due on retirement, including a pro rata share of annual leave.

## 2.15 TENURE

### 2.15.1 *Definition and Location of Tenure*

*Eligibility for tenure.* A system for the awarding of tenure is provided for all regular faculty members *except* (1) part-time faculty members, (2) faculty members whose appointment is funded by grants and contracts ("soft money"), and (3) faculty members who are pursuing degrees at UTK. Faculty members who voluntarily enter into any of these categories after receiving tenure do not thereby forfeit tenure.

*Definition of tenure.* Within the limitations of the Charter and By-Laws of the Board of Trustees of the University of Tennessee, academic tenure provides a faculty member with an expectation of continuing employment that will not be terminated except for (a) adequate cause, (b) extraordinary circumstances, or (c) retirement.

Tenure is awarded (1) when the University acknowledges a reasonable presumption of a person's professional excellence and (2) when that excellence is believed likely to contribute substantially, over a considerable period of time, to the University's mission. This presumption is rebuttable; it is not a guarantee of lifetime employment. However, the burden of rebutting the presumption of professional fitness of a tenured member of the faculty rests with the University. A tenured person may be dismissed only in accordance with the procedures outlined below.

The granting of tenure is based not only on the individual's professional excellence but also includes consideration of the anticipated needs of the academic program for the foreseeable future. Professional excellence is reflected in good teaching, scholarship, or other creative work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, effective work with colleagues and students, and public service. The relative weighing of these factors in tenure determinations will vary depending upon the mission of the particular academic unit and the characteristics of the individual.

A decision not to award tenure is thus in no sense a judgment of incompetence. Not all competent persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve needs of the University's programs. The burden of proof that tenure should be awarded rests with the faculty member.

*Who awards tenure.* Tenure is granted by the Board of Trustees upon the recommendation or review of the Department Head, Dean or Director, Vice Chancellor for Academic Affairs, Chancellor, and President. Tenure is granted only through positive action of the Board of Trustees.

*Who must participate in tenure review.* No person shall obtain or be granted tenure at the time of initial appointment or thereafter except after the review of the Department Head, Dean or Director, Vice Chancellor for Academic Affairs, Chancellor, and President, and approval by the Board of Trustees. After approval by the Board of Trustees, tenure becomes effective when confirmed in writing by the Chancellor.

*"Location" of tenure.* Tenure is held at the University of Tennessee, Knoxville, within a department, school, college or other academic program. Although the granting of

# Retention review

tenure is an administrative recommendation which must be approved by the Board of Trustees, the source of judgment for tenure recommendation must be that of faculty peers competent to evaluate the professional standing of a faculty member.

Reorganizations which result in the merger or splitting of academic units do not affect the tenure or probationary status of the faculty involved. Tenured faculty members in such reorganization will have tenure in the new unit or program to which they are assigned.

*Tenure and interdisciplinary responsibilities.* There is no absolute correlation between disciplines and administrative units. The shape of learning and therefore of disciplines changes in ways that make necessary “interdisciplinary,” interdepartmental, and intercollegiate arrangements for programs of study. If there is a knowledgeable group of peers in a program of study, a faculty member may be tenured in that program even though no administrative unit corresponds precisely with the field. In such cases the chairperson or director of the program in consultation with the program faculty is responsible for the original recommendation, and he/she must relate to the faculty in the program as a Head or Dean would in ordinary circumstances.

## 2.15.2 Procedures for Awarding Tenure

*The probationary period.* A period of probation precedes the process of formal consideration for tenure. The maximum length of this period is stipulated in the original appointment letter. The probationary period at UTK may last from one to six years. The normal length of time is six years, but a shorter period is sometimes stipulated on the basis of previous full-time service at other colleges or universities. In such cases a faculty member may have more than seven full-time teaching years (UTK or elsewhere) before tenure is granted at UTK. For example, a person who has served five years elsewhere may be given a four-year probationary period at UTK. In no case, however, will the probationary period at UTK exceed six years. *The stipulation of a given year for mandatory tenure review does not guarantee retention until that time.*

*Annual retention review.* An annual retention review of probationary faculty is conducted by the Department Head in consultation with the tenured faculty. The Head will convey the outcome of this review to the candidate in writing and in a timely manner. If after informal consultation it appears to the Head that retention is not in doubt, the Head will confirm this finding in writing to the Dean, and no formal faculty meeting or vote is necessary. If it appears to the Head that retention is in doubt, the probationary faculty member will be notified and allowed sufficient time to present relevant material. After review of this material, a formal retention vote of the tenured faculty will be taken. The result of the vote will be included in the Head's written recommendation to the Dean as to retention or non-retention.

*Schedule for tenure consideration.* The review process in tenure consideration begins in the Fall Term (with the submission of materials as described below) and is complete upon the action of the Board of Trustees the following June.

*Notification.* Notice as to tenure consideration is given in two ways: by the Vice

Chancellor for Academic Affairs and by the Department Head. The probationary faculty member is regularly advised, in writing, by the Academic Affairs Office as to the schedule for tenure or retention determination, so that there will be opportunity to submit materials relevant to the review of performance. In addition, at his or her annual conference with the Department Head, each person on probationary status is advised as to how much probationary time is left and as to how the quality of his/her performance is likely to be assessed by the tenured faculty and the Head.

*Submission of materials:* At or before a specified date in the Fall Term of the academic year during which a decision will be made on tenure, the probationary faculty member ("candidate") is required to submit all material relevant to consideration for tenure, as requested annually by the Academic Affairs Office.

*External references.* After consultation with the faculty member, the Department Head is expected to seek the advice of at least three and preferably four to six persons not on the faculty of the University of Tennessee, Knoxville, whose expertise is close to that of the candidate and who are willing to provide thoughtful evaluation of the candidate's written work or other suitable evidence of scholarly and/or creative research performance. None of these references should be the former thesis advisor, postdoctoral mentor, or a collaborator.

*Tenured faculty meeting, discussion, and vote.* While specially appointed departmental committees may be responsible for assembling information, all tenured department faculty should examine the material relevant to the decision. A meeting of tenured department faculty will be called that will allow ample time for debate and discussion of the record and a vote, organized as provided for in the department by-laws, will be taken and recorded. This vote is advisory to the Department Head.

*Responsibility of the Department Head.* If the Department Head disagrees with the recommendation of the majority of the voting department faculty, he/she must explain to the tenured faculty the reasons for the decision. The Head must remind the faculty of their right to forward a dissenting report to the Dean.

*Route of tenure review past the departmental level.* The route of review for tenure recommendations (Department, College Committee, Dean, Vice Chancellor, Chancellor) is exactly the same as that for Promotion (see above), except that the Chancellor's recommendation to award tenure must be approved by the Board of Trustees.

*Right of the candidate to request reasons for decision against tenure.* A faculty member who has received notice of denial of tenure may request a statement of the reasons for the decision. A statement of these reasons will then be given, in writing if so requested, by the Vice Chancellor for Academic Affairs. This statement, together with subsequent correspondence, rebuttals, or rejoinders, will then become a part of the official record. (See Chapter 3).

*Transferring tenure from one UT unit to another.* Tenure is not automatically transferred when a faculty member transfers to UTK from another UT campus, or from

UTK to another UT campus. A review by the responsible academic officers in consultation with the tenured faculty of the appropriate department, college, or school of the “receiving” campus may result in an immediate recommendation to the Board of Trustees for transfer of tenure; or a new probationary period may be established just as is done when there is previous service at a different institution (see above). Transfers of tenure between academic units on the same campus do not require Board approval, but must be approved by the responsible campus administrative officers in consultation with the tenured faculty of the receiving unit, with notification of the Board of Trustees. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted in writing by the transferring faculty member.

Should a probationary faculty member transfer from one UT campus to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented in writing and accepted by the transferring faculty member.

*Tenured faculty in administration.* When a tenured faculty member accepts a part-time or administrative position with the University, the faculty member retains tenure. When a probationary faculty member accepts a part-time position or administrative position with the University, the probationary period will be extended accordingly. When a probationary faculty member is granted a leave of absence lasting one semester or more, the probationary period will also be extended accordingly.

*Automatic forfeiture of tenure.* Tenure is forfeited when a faculty member resigns his/her position, takes an unauthorized leave of absence, or fails to return to the campus in sufficient time to resume normal assigned duties following an authorized leave of absence. The faculty member in such cases will be notified in writing of this revocation of tenure. Such action may be appealed using the normal procedures for appeal and grievances (see Chapter 3).

*Notice of nonrenewal of probationary appointments in the first and second years.* Not later than March of the first academic year of service at UTK, persons who will not be reappointed for a second year will be notified in writing by the Vice Chancellor for Academic Affairs upon recommendation of the Department Head and the Dean. If an appointment of this kind is to expire during the academic year, the person must be so notified at least three months in advance. If a person is in a second year of service, the notification will be no later than December of that year (or, if the appointment expires during an academic year, the notification will be at least six months in advance). If the person has served two or more years, such notice will be given twelve months before the expiration of the appointment. (Previous service at other institutions is not considered in this connection.) Procedure for appeal of a decision not to award tenure or of a decision to terminate a probationary period is described in Chapter 3.

### **2.15.3 Procedures for Revocation of Tenure**

The employment of tenured faculty members may be terminated for only three reasons:

1. *Resignation or Retirement.* (see section on Retirement and Resignation, above)
2. *Extraordinary Circumstances.* “Extraordinary Circumstances” may involve either (a) financial exigency or (b) major program discontinuations. In either case the termination of tenured faculty may take place only after sustained deliberation and discussion of the exigency or of the program change. Such deliberations and discussions must include the faculty of the University through appropriate committees of the Faculty Senate, of the college, and of the department involved. In either event the full educational mission of the University must have been reviewed carefully.

Should it become necessary to abolish tenured faculty positions because of the discontinuance of an academic program or function, or because of financial exigency, the campus administration shall attempt to find another suitable position for each displaced tenured faculty member. This does not require that such a faculty member be placed in a position for which he or she is not qualified or that a new position be created where no need exists.

Priority must be given to quality and seniority of service, as defined by knowledgeable faculty representatives. (Tenured faculty given notice of termination for “extraordinary circumstances” may appeal the decision (see Chapter 3). The place of any tenured faculty member so released shall not be filled by a replacement within three years, unless the released faculty member has first been offered reappointment to the position in writing and has declined.

The procedures and criteria to be followed in the event of an explicit declaration of financial exigency are described in detail in the UTK Financial Exigency Plan approved by the Board of Trustees on October 17, 1982. Copies of this plan are available in department and college offices and in the office of the Chancellor.

3. *Adequate Cause.* “Adequate cause” is defined as one or more of the following:
  - a. incompetence (failure to maintain the level of professional competence and ability demonstrated by other faculty members in comparable positions within the academic unit);
  - b. significant neglect of duty (failure to carry out assigned University responsibilities);
  - c. persistent refusal to comply with University policies;
  - d. serious violation of the University’s standard of professional responsibility in teaching and research, or in personal relations with students, colleagues, or the community (such violation defined as behavior that would evoke condemnation from the academic community generally); or



- e. dishonesty in teaching or research, or falsification of information concerning qualifications for a position or promotion.

Revocation of tenure and termination for adequate cause of a tenured faculty member takes place in the following way:

1. The Department Head, after consultation with the tenured faculty, will, with approval of the Dean, advise the Vice Chancellor for Academic Affairs that grounds exist for revocation of tenure and termination of employment.

The Vice Chancellor will also be advised as to the history of efforts made within the department, school, or college to encourage and help the faculty member to improve his/her performance. The Vice Chancellor will also be advised as to the judgment of the tenured faculty in the department on the matter.

2. If the Vice Chancellor concludes that serious grounds exist for revocation of tenure, he/she will discuss the matter with the faculty member, seeking an amicable settlement.
3. If no such settlement can be agreed upon, the Vice Chancellor will ask the Faculty Affairs Committee to conduct an informal inquiry, to determine whether, in its opinion, dismissal proceedings should be undertaken. [The opinion of the Faculty Affairs Committee is not binding on the decision of the Vice Chancellor, but the opinion does become part of the procedural record.]
4. The Vice Chancellor receives the opinion of the Faculty Affairs Committee, evaluates the report, and recommends dismissal or retention to the Chancellor. If retention is recommended, the process is concluded.
5. If the Vice Chancellor recommends dismissal, the Chancellor will consider the record to determine whether dismissal proceedings should be held.
6. If the Chancellor decides that dismissal proceedings should be held, he/she (or his/her designate) will deliver to the faculty member in writing a statement of charges, framed with reasonable particularity. At the same time, the statement of charges will be delivered in writing to the Faculty Senate Executive Committee.
7. If, within ten days of receipt of the written charges the faculty member has not notified the Chancellor in writing that he/she challenges the statement of charges, the faculty member will be dismissed, and no appeal of the matter will be heard within the University. If (within ten days after receipt of the written charges) the faculty member does notify the Chancellor in writing that he/she challenges the statement of charges, the Chancellor will ask the faculty representatives on the Faculty Senate Executive Committee to appoint a hearing tribunal no later than fifteen days after said request, and will so notify the faculty member.
8. The tribunal will consist of members of the faculty and the administration. Members of the tribunal may be challenged if they are deemed (either by the Chancellor or by

the faculty member) disqualified by reason of bias or interest. Such challenges will be judged by the Faculty Senate Executive Committee, whose decision on the matter will be final.

9. A hearing will then be scheduled, with steps taken as follows:
  - a. Service of notice of hearing with specific charges in writing will be made by the Chancellor at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against her/him or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will proceed without her/him to evaluate all available evidence and will rest its recommendation upon the evidence in the record.
  - b. During the proceedings the faculty member may elect to be represented by legal counsel or other representatives of his/her choice. If legal representation is desired, the faculty member must notify the chairperson of the hearing tribunal at least ten days before the scheduled date of the hearing so that the University may also schedule the presence of prepared legal counsel. If notification of the desire to have counsel present is given less than ten days before the hearing, the tribunal may at the University's request postpone the hearing until counsel can be available on both sides.

If the University intends to have legal counsel present at the hearing, it will notify the faculty member in the same way, with the same provision for postponement until legal counsel has been obtained.
  - c. A verbatim record of the hearing will be taken and a typewritten copy will be made available upon request to the faculty member without charge.
  - d. The hearing tribunal will grant adjournments to enable either party to investigate evidence to which a valid claim of surprise is made.
  - e. The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
  - f. The University will afford the faculty member an opportunity to obtain necessary witnesses and specific documents or other specific evidence requested by the faculty member.
  - g. The faculty member and the University will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interests of justice require admission of his/her statement, the committee will identify the witness, disclose her/his statement, and provide for possible interrogatories.
  - h. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

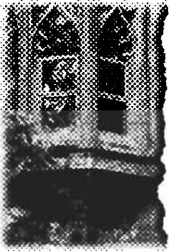
- i. The hearing tribunal will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- j. The findings of fact and the decision will be based solely on the hearing record.
- k. The Chancellor and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.
- l. If the hearing tribunal concludes that adequate cause for dismissal has not been established by the evidence of the record, it will so report to the Chancellor. If the Chancellor rejects the report, she/he will state her/his reasons for doing so, in writing, to the hearing tribunal and to the faculty member, and provide an opportunity for response before transmitting the case to the President and the Board of Trustees. If the hearing tribunal concludes that adequate cause for dismissal has been established, but that remedy other than dismissal would be more appropriate, it will so recommend, with supporting reasons.

If dismissal or other penalty is recommended, the Chancellor will transmit the record and her/his recommendations to the President and the Board of Trustees. Review by the Board of Trustees will be based on the record of the tribunal hearing, and it will provide opportunity for argument, oral or written or both, by the principals or by their representatives at the hearing.

Until the final decision has been reached the faculty member will be suspended, or assigned to other duties in lieu of suspension, only upon approval of the Chancellor for cause shown. Before suspending a faculty member, pending an ultimate determination of her/his status through the institution's hearing machinery, the Chancellor will consult with the Faculty Senate Executive Committee.

In any case of suspension, the Chancellor, for good cause shown, may decide that the suspension shall be without pay. Before removing pay, the Chancellor shall, subject to the approval of the Board, fix the date of termination. If the decision is against termination, the faculty member will not ultimately suffer the loss of normal pay and other compensations.





# Faculty Rights And Benefits

3

## 3.1 ACADEMIC FREEDOM

Members of the faculty are charged to seek and to say honestly and persistently the truth as they perceive it, within their respective fields. This is the freedom of the academy, and on this precious foundation rests everything the academy has to offer.

Freedom of thought and of speech as defined for Americans in the Bill of Rights has been hard-won and severely tested. The freedom of the academy is more arduous still, and exacts its own stern and constant discipline—to wait patiently for evidence to take shape, to withhold judgment when the majority may know already the judgment it wants, or to articulate and defend a surprising or unpopular conclusion. The freedom of the academy includes not only the right of the faculty to teach, read, and write without prior restraint or censure, but also the obligation to make public what labor and caution and care and the freedom to inquire have enabled them to know. It is a freedom presupposing personal integrity and professional rigor, subject to the scrutiny of evidence by knowledgeable colleagues. The freedom of the academy presupposes a clear understanding between the University and each member of the faculty about the terms of membership, the extent of duties, and the principles for evaluation of service. Under no circumstances may such an agreement abrogate a faculty member's freedom of inquiry, nor his/her basic right of a citizen and private person to pursue ends and interests consistent with the laws governing all members of society.

Every faculty member enjoys an unusual opportunity to know and to influence a number of students, both within the classroom and within the wider context of University life. This opportunity is not open to the average citizen. As a member of the University community, therefore, the faculty member is not simply a private person. He/She should claim no more authority than professional competence and the nature of the appointment can support.

Outside the University, the distinction must be clear between activities undertaken on behalf of the University and those that are purely personal, for which the University is not responsible. The use of University stationery, telephones, and other resources for personal or extramural activities of any extended nature should be avoided, as should the use of the faculty member's position or title in connection with the expression of purely personal, unofficial views. Only under such conditions can the faculty enjoy mutual confidence within its own ranks or command the respect and support of the larger society.

### 3.2 GENERAL APPEALS PROCEDURES

The faculty member is entitled to fair, impartial, honest resolution of problems that may arise in relation to employment. Accordingly, the University subscribes to certain principles and follows certain practices which ensure that such resolutions occur judiciously and within a reasonable period of time.

Complaints or grievances should be clarified at the earliest possible time and at the administrative level closest to the locus of the complaint. Every effort should be made to expeditiously resolve such matters informally, by conversation with the department head, (director) or dean, before bringing them into a written form. The faculty member may have another member of the university faculty assist him/her with the presentation of his/her grievance to the department head (director), dean, or other administrative officials.

1. *Appeal through the Administrative Channel.* Equitable resolution of most grievances may be achieved through the usual administrative channel. Any faculty member may initiate an appeal in writing with the officer responsible for his/her administrative unit. If resolution of the problem is not achieved, the faculty member may request review at successively higher administrative levels through the Dean to the Chancellor. [The bylaws of the University (Article V, Section 7) provide that any individual may appeal through the Chancellor to the President.] The administrative officer responsible for the aggrieved faculty member's unit shall inform the faculty member of current procedures and personnel responsible for handling such matters as the appeal begins and progresses along the administrative route or through the Faculty Affairs Committee.
2. *Faculty Affairs Committee Channel.* A faculty member requesting Faculty Affairs Committee consideration of his/her grievance must submit a written statement of the grievance to the Chair of the Committee. When it has been determined that grievance lies within the jurisdiction of the Committee, the chairperson will discuss the grievance with the Committee to determine appropriate action. Appropriate action may be:
  - a. that the Chair or his/her designee will try to mediate an amicable resolution of the grievance;
  - b. to initiate a Committee review; or
  - c. to take no action on the grounds that the grievance lacks merit for consideration.

If the Faculty Affairs Committee determines that a mediator or a review board should not be appointed, the chairperson shall give written notice of that decision and the reasons therefore to the faculty member, the administrator(s) whose decision is being contested, and the Chancellor.

1. *Faculty Affairs Committee Mediation.* When a faculty member has been unable to achieve an amicable resolution with the Department Head, Dean, or other administrative officer, he/she is encouraged to request mediation by the Faculty Affairs Committee. General policies and procedures for the mediation process are established by the Faculty

Affairs Committee and are available from the Chair upon request.

2. *Appeal through the Faculty Affairs Committee.* When a grievance with a Department Head (Director) and/or Dean has not been resolved otherwise and a faculty member remains unsatisfied after a final decision of the Dean, he/she may appeal to the Faculty Affairs Committee. The appeal must be submitted in writing after the faculty member has been given notice of the Dean's decision and of his/her right to request consideration by the Faculty Affairs Committee. The request must include a comprehensive statement of the grievance. Copies of the request must be provided to each administrator whose decision is being contested and to the Chancellor. After the chairperson of the Faculty Affairs Committee has consulted with the Committee and it has been determined that a grievance lies within the jurisdiction of the Committee, and merits Committee consideration, he/she will establish arrangements necessary to ensure a complete review of the grievance.

When it has been determined by the Faculty Affairs Committee that a review board should be convened, the chairperson shall appoint a board consisting of no fewer than three members of the Committee and shall designate one of three as chair of the review board. The chair of the Committee shall provide written notification of the appointment of a review board along with the names of the chair and the members to the faculty member, each administrator whose decision will be reviewed, and the Chancellor. The notification shall also include procedures to be followed during the review. Any objections to the membership of the review board or to the review procedures shall be made in writing to the chair of the Faculty Affairs Committee whose written decision to sustain or overrule the objection shall be final. If the objection is sustained, the chair will facilitate a resolution so that the review may proceed.

At the conclusion of the review, the Faculty Affairs Committee will forward to the administrative officer(s) and to the faculty member the Committee's written findings and recommendations.

Prior to the rendition of a final decision, the faculty member and the administrator(s) involved in the appeal may request reconsideration of the grievance on grounds that the review board made a clearly erroneous finding of fact or that there has been newly discovered evidence or arguments which for good cause were not previously presented to the Committee. This request must be submitted in writing to the chair of the review board. The decision of the review board whether and to what extent to reopen the hearing shall be final.

The written decision of the administrative officer(s) involved shall be forwarded to the faculty member and the chair of the Faculty Affairs Committee. If all or part of the findings and recommendations of the Faculty Affairs Committee are not accepted, the reason for not doing so will be included.

The faculty member may appeal the decision rendered by the administrative officer(s) involved by notifying the Chancellor in writing within ten days of receipt of the written notice of the decision of the said administrative officer(s).

A decision by the Chancellor to reject, in whole or in part, a recommendation of the review board, may be appealed to the Chancellor by the faculty member. In the event of such an appeal, the chair of the review board may participate in the appeal for the purpose of advocating that the Chancellor adopt the recommendation of the review board. Upon reaching a decision, the Chancellor shall provide a written statement thereof to the faculty member, the administrator(s) involved, the chair of the review board, and the chair of the Faculty Affairs Committee. If the Chancellor does not accept all of the review board's recommendations, he/she shall include a statement of reasons for not doing so.

3. *Review Procedures in Regard to Legal Representation.* Reviews conducted by the Faculty Affairs Committee are non-judicial in nature and should be conducted as informally as is consistent with a complete and fair consideration of the matter under review. The strict rules of procedural due process (e.g. confrontation, cross-examination, and strict rules of evidence) may, but need not, be followed. However, any individual making a presentation to the Committee may obtain the assistance of an advisor or legal counsel of his/her choice. If legal representation is desired, the faculty member must notify the chair of the Faculty Affairs Committee at least ten days before any hearing that may be scheduled, so that the University may also schedule the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way.

The Committee will ensure that all appropriate parties are notified of its review and given an opportunity to present to the Committee evidence they deem appropriate.

4. *Matters not Reviewed by the Faculty Affairs Committee.* The Faculty Affairs Committee will not review under general appeals procedures matters for which other formal procedures have been specifically outlined in this Handbook: (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap, or veteran status; (2) dismissal from employment before a stipulated time of service has been completed or without the minimal advance notice specified for termination of probationary faculty in Chapter 3; (3) allegations that the non-renewal of appointment of a probationary faculty member constitutes a violation of academic freedom; and (4) termination of tenured faculty. The scope of the Committee in concerns related to promotion and tenure is limited to a review of complaints that the procedures outlined in the Faculty Handbook or formally adopted by the department have not been followed.



### 3.3 SPECIAL APPEALS PROCEDURES

Certain special procedures are provided for cases involving (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap, or veteran status; (2) termination or suspension of a non-tenured faculty member for adequate cause prior to the expiration of his/her term of appointment or without the minimum advance notice specified for non-reappointment of probationary faculty (see Chapter 2); (3) allegation that the non-renewal of appointment of a probationary faculty member (see Chapter 2) constitutes a violation of academic freedom. (The procedure for termination of tenured faculty appears in Chapter 2.)

1. *Allegations of discrimination* on the basis of race, sex, national origin, religion, age, handicap, or veteran status are brought and investigated in accord with procedures described in the UTK Affirmative Action Plan. Copies of the Plan are available in the department or college office and may be obtained from the Director of Diversity Resources and Educational Service.
2. *If a probationary faculty member is suspended or dismissed before the stipulated term of appointment has been completed or without the minimum advance notice specified for termination of probationary faculty in Chapter 2*, such action will be preceded by notification by the Chancellor. The faculty member may appeal this decision through the Faculty Affairs Committee, as outlined above, or may elect to follow the appeal procedures outlined in the Tennessee Administrative Procedures Act (Tennessee Code Annotated SS4-507). Dismissal or suspension of this kind must be for "adequate cause" (See Chapter 2), and the burden of proof is on the University. The faculty member must notify the Chancellor of his/her desire to appeal within ten days after receipt of the University's intention to dismiss or suspend. Details of procedures under the Administrative Procedures Act are available upon request from the Office of the General Counsel of the University, 806 Andy Holt Tower.
3. *Allegations that non-renewal of an appointment of a probationary faculty member constituted a violation of academic freedom* are handled by appeal through administrative channels, as outlined above, except that the Chancellor is obliged to ask the Faculty Affairs Committee to review the matter solely to determine whether the notice of non-renewal establishes a violation of academic freedom.

The burden of proof that non-renewal constitutes a violation of academic freedom is on the faculty member. The Faculty Affairs Committee will invite the faculty member to appear and to present evidence and argument on his/her behalf. If legal representation is desired, the faculty member must notify the chair of the committee at least ten days before any hearing that may be scheduled, so that the University may also schedule the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way. The Committee should ask the Department Head, Dean, and any other appropriate parties to testify and present evidence and argument.

After hearing and weighing the evidence presented, as well as any other evidence at its disposal, the Committee will submit a written recommendation to the Chancellor within 21 days after the conclusion of its deliberations. A copy of the recommendation will be given at the same time to the faculty member. The Chancellor will consider the Committee's recommendation and inform the faculty member of his/her decision within 30 days. [The by-laws of the University (Article V, Section 7) provide that any individual may appeal to the President.]

4. *Special Procedures Governing Disciplinary Action (Other than Discharge for Adequate Cause).* Disciplinary action (other than discharge) may be taken against a faculty member only when there is clear and convincing evidence of misconduct. Before such disciplinary action may be taken, the department head or dean must notify the faculty member of his/her intent to take disciplinary action. This notice shall include a detailed specification of the alleged misconduct and the nature of the proposed discipline. It shall also inform the faculty member of his/her right to appeal the proposed discipline through administrative channels or to request a review by the Faculty Affairs Committee in accordance with the provisions of this chapter. No discipline may be imposed without the consent of the faculty member until such time as the faculty member fails to exercise his/her right to appeal in accordance with the provisions of this chapter.

For these cases under review, the Faculty Senate, through its Faculty Affairs Committee, will provide *advice and consent* before any disciplinary action against a faculty member may be taken. In the event that the Faculty Affairs Committee cannot reach agreement with the University administration in regard to a proposed disciplinary action, the matter will be forwarded to the Board of Trustees for resolution.

### 3.4 BENEFITS

The University provides a comprehensive program of benefits for faculty and staff. The University administration works closely with the Fringe Benefits Committee of the Faculty Senate to assess the needs of the faculty and to provide programs that respond to those needs.

Detailed benefits are explained in *Your University Benefits* and also in the *UT Personnel Policies and Procedures Manual*.

### 3.5 LEAVES OF ABSENCE

*Leaves of absence*, extended periods of time spent away from campus for professional growth or personal reasons, are an important aspect of faculty development. Leaves of absence must be requested in writing by the faculty member and specifically approved by the Department Head, Dean or Director, the Vice Chancellor for Academic Affairs, and the Chancellor.

Leaves of absence are normally granted for not more than fifteen months and are normally without University compensation.

A “semester banking” plan makes it possible for persons on regular full-time academic year appointment to take extended periods of absence over two semesters with normal pay (see Chapter 2). Such periods are not considered leaves of absence, since they represent substitution of one working period for another and do not entail any redirection of the normal duties of the faculty member.

### 3.6 FACULTY/STAFF DEVELOPMENT AWARDS

Each Chancellor and Vice President may recommend the awarding of grants for the educational development of full-time and continuing part-time faculty and other professional staff members within their administrative jurisdictions. These awards may extend for periods up to 15 months and carry stipends up to one-half the recipient's monthly salary, plus tuition and other direct educational expenses. Faculty/Staff Development Awards are made on the basis of demonstrated institutional needs to persons who have been full-time employees of The University of Tennessee for at least two consecutive years. Recipients are required to return to the University and to be employed for at least two months of full-time service for each month of grant awarded; otherwise there is a financial obligation to the University, as specified in the development award contract. These awards are subject to social security and federal income taxes. Recipients are eligible to participate in certain University fringe benefits programs as described in the development award contract.

### 3.7 FACULTY LEAVE

*Sick Leave.* The University grants sick leave to full-time faculty on regular academic year appointments as required by illness, injury, or medical treatment. The amount of such leave varies with circumstances of the individual case. Factors considered in making the determination are: (a) length of service, (b) necessity for replacement, (c) quality of past service, and (d) potential future with the University. Sick leave credit for persons on regular full-time 12-month appointments is accumulated at the rate of one day per month of service. Faculty and professional staff on regular part-time 12-month appointments receive a prorated amount of sick leave based on the percentage of full-time employment. There is no upper limit to the number of days that may be accumulated. Please refer to Policy 380 in the *UT Personnel Policies and Procedures Manual*.

*Funeral Leave.* A person who is absent during his/her regularly scheduled work week due to the death of a spouse, child or step-child or parent or step-parent may receive payment for reasonable and customary days absent, not to exceed five (5) regularly scheduled work days. An employee who is absent during his/her regularly scheduled work week due to the death of a grandparent, grandchild, parent-in-law, foster parent, brother, sister, brother-in-law, sister-in-law, daughter-in-law, or son-in-law may receive payment for reasonable and customary days absent, not to exceed three (3) regularly scheduled work days.

*Family and Medical Leave.* Leave for childbirth, adoption, foster care placement of a child, serious illness of a spouse, child or parent, or the employees own serious illness may be given to any regular or term employee who has worked at least 1,250 hours in a 12 month period. Such a leave may extend up to a maximum of twelve work weeks of paid or unpaid leave. Please refer to Policy 355 in the *UT Personnel Policy and Procedures Manual*.

*Military Leaves for Short Tours of Active Duty.* Regular employees of the University who receive orders to report for training or active duty in the service of the State of Tennessee or of the United States shall be entitled to military leave with pay for up to fifteen working days per calendar year. It is expected that faculty members employed on an academic year basis will perform their military training during periods when classes are not in session.

*Extended Military Leave.* Regular employees of The University in the National Guard or Reserves who receive orders to report for extended active duty in the US armed forces will be granted leave of absence without pay (for military reason) after the employee has received military leave with pay for fifteen working days in any one calendar year.

### **3.8 VACATIONS/ANNUAL LEAVE**

The University recognizes the importance of rest and recreation and encourages faculty vacations. Faculty members must arrange the length and timing of vacation periods with the Department Head or Dean, and must provide information on how they may be contacted during periods of absence.

1. *Faculty and Professional Staff Members Employed on Regular Twelve-Month Appointments.* Faculty and professional staff members employed on regular full-time twelve-month appointments earn twenty-four (24) working days of annual leave per year. A maximum of forty-two (42) days of accumulated annual leave may be carried forward from one calendar year to the next. Annual leave days in excess of forty-two (42) may be credited to sick leave. Faculty and professional staff on regular part-time twelve-month appointments receive a prorated amount of annual leave based on the percentage of full-time employment.
2. *Faculty Employed on Academic Year Appointments.* Faculty members employed on regular full-time academic year appointments are not required to be on campus during any semester for which they have no University assignments. Such periods begin when all reports have been made following the preceding semester's commencement, and extend to a reasonable period prior to the beginning of the semester following the semester without assigned duties. A "reasonable period" here must include sufficient time to participate in scheduled faculty meetings, committee work, advising, and other activity necessary for the satisfactory resumption of the work of the department in that semester.

3. *Regular Term Faculty.* Faculty on full-time academic appointments receive annual leave only if appointed for twelve months or longer.
4. *Part-time Term Faculty.* Faculty on part-time term academic appointments do not receive annual leave.

### 3.9 RECORDS OF LEAVE

Official leave records are maintained for all regular full-time and part-time personnel other than faculty employed on academic-year appointments. The official leave record is Personnel Form Number 12. Deans, Directors, and Department Heads are charged with ensuring that these records are maintained in each department. Such records must be maintained on a current basis and are subject to audit. Upon termination or at the end of each calendar year, after proper balances have been transferred to new cards for the succeeding year, the leave form (Per-12) for all staff and faculty employed on a regular twelve-month appointments must be forwarded to the Office of Human Resources Management for review and retention.

*Leave Transfer within the University.* When a person is transferred from one campus or component of the University to another, a copy of the leave record form (Per-12) signed by the supervisor is attached to the personnel transfer forms. The receiving personnel office prepares a new leave record form (Per-12) showing the annual leave and sick leave balances and forwards it to the new supervisor. The signed copy of the previous leave record is retained in the personnel office as an official record.

*Leave Transfer between the University, State Agencies, and any State College or University in Tennessee.* Any full-time employee of any agency, office, or department of the State or of any State college or university, including The University of Tennessee, who leaves one of these employers for employment without a break in service shall have his/her annual and sick leave transferred. Moreover, when such a former employee who has one (1) full year of State employment in good standing returns to full-time service with one of these employers, he/she shall be credited with all sick leave to which he/she was entitled at the time of termination. The most recent employing authority shall be responsible for certifying eligibility for this sick leave credit to the re-employing agency, college, or university. Employees who come to the University from State agencies, colleges, or universities should be strongly encouraged to take their accumulated annual leave prior to being placed on the rolls of the University unless there is an immediate and urgent need for their services.

Furthermore, any full-time teacher employed by a local school board in Tennessee, who leaves the employment of that board and becomes an employee of the University of Tennessee, shall have his/her sick leave transferred upon request. The former employee of a local school board must have begun University employment after July 1, 1965 to be eligible for this transfer of sick leave.

*Fringe Benefits For University Employees On Leave.* While an employee is on family and medical leave without pay, the University will continue to pay the employer's

share up to twelve weeks as required by federal law. Eligible employees on approved leave of absence without pay are eligible to maintain membership for up to twelve months in the basic group/HMO plan to which they belong at the time the leave begins. Generally, the period of approved leave of absence without pay does not qualify as creditable service for retirement, and contributions are not made by the University during the leave period. Please refer to Policy 335 and 355 in the *UT Personnel Policy and Procedures Manual*.

### **3.10 DESIGNATED HOLIDAYS**

The following holidays are normally recognized by the University. Others may be declared from time to time:

- New Year's Day
- Martin Luther King, Jr. Day
- Spring Recess Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Christmas Day

When a recognized holiday falls on Saturday, it shall be observed on the preceding Friday. When a recognized holiday falls on Sunday, it shall be observed on the following Monday.



# Instruction

4

## 4.1 UNDERGRADUATE EDUCATION

All undergraduate degree programs and courses offered by the University are under the academic sponsorship of the faculty and are implemented under academic policies and student rules established by the University Faculty Senate. The Senate Educational Policy Committee through its Undergraduate Council approves or rejects all course and curriculum proposals submitted by the various departments, colleges, and other appropriate units of the University.

*General Education.* The goal of General Education is to develop in students those basic skills, knowledge, attitudes, and judgment necessary for effective citizenship at all levels, from local to global; for responsible and fulfilling interactions with others and the environment; and for an enriched personal life. General Education may also provide the basis for a major or professional concentration, but its aims are not career-specific. The following areas define the General Education program for undergraduate curricula: English Composition (2 courses), Mathematical Sciences (2 courses), Humanities and the Arts (2 courses), Historical Studies (2 courses), Social Sciences (2 courses), Natural Sciences (2 courses), Foreign Languages (2 courses at the intermediate level) or Integrative Studies (2 courses).

*Other requirements.* In addition to General Education requirements, individual colleges and departments may have undergraduate graduation requirements specific to their degree program.

## 4.2 POLICIES AND RULES FOR STUDENTS

Many aspects of undergraduate instruction are governed by Senate and University policies. These regulations can be found in *Hilltopics* (student handbook), which is published annually. A model course *syllabus* might include some of the following items that appear in the handbook.

- Attendance: Class attendance by students is expected and encouraged. Instructors should provide opportunities for students who miss classes for regularly scheduled, University-approved curricular and extracurricular activities to make up work.
- Examination policies: Faculty members teaching and coordinating courses are responsible for determining the examination policy used in the courses. Written notification of the examination policies should be made available to students during

the first ten calendar days of the semester (or its equivalent). No exams or quizzes counting more than 10% of the semester grade may be given during the last five calendar days prior to the study period.

- Final exam conflicts: Students should follow established procedures described in the Undergraduate Catalog when they have two or more final examinations scheduled at the same time or more than two final examinations scheduled during the same day.

*Confidentiality of Student Records.* At the University, academic and disciplinary records are kept separately. Confidential records of all misconduct reports, investigation, and disciplinary actions are maintained by the Office of Student Conduct and academic records are maintained by the Office of Admissions and Records.

The University's policy regarding the use and release of student records is governed by Public Law 93-380, the Family Education Rights and Privacy Act, and the Tennessee Public Records Act.

Under the terms of those laws, the University and its employees are charged with protecting the confidentiality of the educational records of its students—prospective students, currently attending students, and former students. The University is empowered to disclose relevant portions of those records to faculty and staff determined to have a legitimate educational interest.

All exceptions to this policy, including disclosure to non-University persons or agencies, shall be administered by the Vice Chancellor of Administration and Student Affairs, the Dean of Students, the Dean of Admissions and Records, or the Registrar.

*Student/Faculty Relationships.* Free and pertinent discussion is welcome at the University. Students should feel free to take reasoned exception to the data or view offered in any course of study and to reserve judgment about matters of opinion. They are responsible, however, for learning the content of any course of study for which they are enrolled.

Students may expect their performance to be evaluated solely on an academic basis and not on opinions or conduct in matters unrelated to academic standards. Students are responsible for each course in which they are enrolled. A student alleging unfair evaluation should appeal first to the teacher, to the department or to his/her college dean, and if necessary, to the Associate Vice Chancellor and Dean of Undergraduate Academic Affairs. Teachers are expected to make honest, professional judgments on the academic performance of students and to make clear to them the basis for academic evaluation used in their classes.

The University expects that all academic work will provide an honest reflection of the knowledge and abilities of both students and faculty. Cheating, plagiarism, fabrication of data, providing unauthorized help, and other acts of academic dishonesty are abhorrent to the purposes for which the University exists. In support of its commitment to academic integrity, the University has adopted an Honor Statement (see *Hilltopics*).



### 4.3 GRADUATE EDUCATION

Graduate education has been conducted at UTK since 1821, with the first known master's degree being awarded in 1827. Graduate study is offered in more than 80 major programs leading to advanced academic and professional degrees. There are about seven thousand graduate and professional students enrolled at UTK, 30% of whom are pursuing doctoral degrees. The graduate enrollments include approximately 8% international students, 5% traditionally underrepresented U.S. ethnic groups, and 50% women. Approximately 1,700 degrees are conferred annually, of which 15% are doctoral degrees.

*The Graduate Programs.* The academic departments and colleges of the University formulate graduate programs appropriate to their fields. Faculty must be approved by the Graduate Dean before teaching any doctoral course; and must be approved by the Graduate Council to direct doctoral dissertation research. The privilege to participate in graduate education may be revoked by the Dean of the Graduate School for failure to participate in graduate education or failure to maintain appropriate standards of professional ethics.

*The Graduate Council.* The Graduate Council is responsible for standards of admission, retention and graduation, and for curricular matters in graduate programs; the development of interdisciplinary programs; the approval of new graduate programs; the approval of individuals to direct doctoral dissertation research; financial support of graduate students; and any other matters of educational policy pertaining to graduate programs.





# Research, Scholarship, And Creative Endeavors 5

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## 5.1 RESEARCH

One of the three basic missions of the University is research which is the foundation and key to learning that the University provides. Research is simply learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation between the known and the unknown. University research makes application of existing knowledge to important practical problems; it also achieves in pure or theoretic form a basic knowledge that may eventually have application in surprising new ways.

As the largest and most comprehensive public university in the state, UTK has a major commitment to research in most of the traditional disciplines as well as in many new or emerging fields of study. Fundamental work is done in subjects as diverse as anthropology, agriculture, literature, religion, physics, engineering, economics, art, and music. The University expects its faculty to participate in research, and encourages and rewards such activity. Deans, directors, and department heads are expected to make this commitment to research an important part of their planning and budgeting. (A more complete description of this commitment as part of the University's mission is found in the *UTK Role and Scope Statement*.)

"Research" has many meanings at a major university. Its content and style vary substantially. It is the development or refinement of information, the insight and sense of relationship that may be drawn from information, the development of new techniques and technologies, and the application of such knowledge to the solution of problems. Both applied and basic research are appropriate pursuits of faculty, and both are recognized at UTK. In the arts and humanities research may include the creation of new art and argument, the edition or translation of texts, and the construction of new models and theories. The imagination and conscience here in evidence are judged indispensable to the University's full research responsibility.

As the shape and direction of research changes, new problems and subjects arise that require the attention of several disciplines. At such times interdisciplinary research becomes significant. The University aims to encourage such interdisciplinary work by removing or inhibiting administrative barriers to the cooperation without which solid interdisciplinary research is not possible. Some research may demand the effort of a single faculty member working with a few students, another the concerted efforts of faculty from several disciplines. The ongoing research of the faculty provides the vehicle

and the environment for theses and dissertation work of graduate students. Many faculty members regularly involve undergraduate students in their research programs as well, so there is an intimate relationship between teaching and research. Because much research aims to solve problems posed or faced outside the University, there is also a clear kinship with the University's public service.

## **5.2 CENTRAL ADMINISTRATIVE SUPPORT**

The content and conduct of research are primarily the responsibility of the faculty members who must do it. It is the corresponding responsibility of the administration at all levels to exercise strong leadership in encouraging, assisting, recognizing, and rewarding good research. At the central administrative level the offices of the Associate Vice Chancellor for Research are specifically charged to provide services in this connection. These offices:

1. assist the faculty in developing and promoting proposals to external sources of support;
2. work with faculty, department heads, deans, and directors to make effective use of University resources;
3. assist in developing new concepts, program directions, and procedures;
4. maintain a support reference library and disseminate potential support information to faculty;
5. help faculty to use electronic sources of information such as the Funding Opportunities Database;
6. maintain the Faculty Information Service on the World Wide Web as an information source and showcase of faculty research accomplishments;
7. review and approve all proposals for external support, as well as negotiated changes in existing programs;
8. renegotiate changes, patents, copyrights, and reports as needed;
9. provide institutional leadership in the long-range development of general research effort;
10. work to publicize the research accomplishments of faculty; and
11. distribute Central Administration research incentive funds to aid faculty in their research.

## **5.3 RESEARCH COUNCIL**

The Research Council of the Faculty Senate is an advisory group broadly representative of the faculty. It serves an important function in research program development by analyzing and giving advice on many issues affecting research. The Council makes possible the interaction of representatives from the many areas and programs and

provides a means of emphasizing the place of research in the University's mission. Information about research programs is shared and discussed by Council members, who are concerned also to disseminate such information among the general faculty. The Council works closely with the Office of Research Administration on such matters as competitively distributing research incentive funds and advising the Associate Vice Chancellor for Research on policy matters.

## 5.4 RESEARCH FUNDING

The University sets aside its own money for research in a number of ways. It allows faculty time for "departmental research" and for "thesis and dissertation supervision." The University permits a significant measure of discretion within departmental and college budgets to support research and it arranges for various levels of cost sharing, and provides a Faculty Research and Development Fund.

*The Faculty Professional Development Award Program* provides awards on a competitive basis for faculty, usually in the summer months. Special emphasis is given to research which is being developed (in which the grant might be viewed as "seed" money for attracting external support) and to activities which may give added emphasis to the development and growth of the individual, department, college and University. Competition for these awards usually occurs in the fall of each year. This fund is administered by the Associate Vice Chancellor and Dean of the Graduate School.

Two other research incentive funds administered by the Office of Research Administration are:

1. *Research Incentive Funds.* Each year UTK receives a state appropriation to be used for support of research. These funds are administered by the Associate Vice Chancellor for Research and are distributed to active and/or beginning researchers. The funds are usually used for pilot studies, as start-up funds for new faculty, or to support travel in connection with research. There is a general requirement that Research Incentive Funds be matched equally with department and college funding (a 1:1:1 match). This requirement may be waived, or the matching ratio adjusted, in circumstances when the academic unit(s) have little or no available funds. There is no deadline for application to the Research Incentive Fund. As the funds are distributed on a first-come, first-served basis, application should be made as early in the fiscal year as possible. The application process is simple—just write a letter describing the research activity to be supported, including the total cost of the project and the suggested division of the cost. The letter should include approval lines for the signatures of the department head and the dean of the college. Once departmental and college approvals have been obtained, the letter should be forwarded to the Assistant Vice Chancellor for Research, 404 Andy Holt Tower, 4-3466.
2. *Scholarly Activities Research Incentive Fund (SARIF).* This fund was begun with the cooperation of the Vice Chancellor for Academic Affairs in 1994 and consists of three parts.

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- a. *Instrumentation Matching and Other Research Incentives.* This part of SARIF represents an addition to the Research Incentive Fund directly administered by ORA staff. These funds are primarily used to provide matching funds on equipment proposals. Contact the Office of Research Administration, 4-3466 for further information.
- b. *Summer Graduate Research Assistantships.* Each department or graduate program can submit one application for support of a graduate student for 3 summer months. Application is made by the faculty member who will oversee the student during the award period. Awards of \$3,000 for 3-month summer graduate research assistantships. These are 50% GRA appointments, and awardees should hold no other GRA or GTA appointments. The \$3,000 award does not include funds for graduate maintenance fees. If the student has not earned a fee waiver from an academic-year GRA or GTA appointment, and if there are no department or college funds to support summer maintenance fees, the faculty member should request additional SARIF funds to cover these costs. Contact the Office of Research Administration, 4-3466 for further information. This part of SARIF is cooperatively administered by ORA and the Research Council of the Faculty Senate.
- c. *Exhibit, Performance, and Publication Expense Fund (EPPE).* The intent of this fund is to help faculty defray expenses involved in placing the results of their scholarly activity in the public domain by publication, performance, or exhibit. Such expenses might include (but are not limited to) preparation of manuscripts, diagrams, or photographs; page charges; mounting or framing of artworks; rental of exhibit space; preparation of programs or other costs of instrumental or other performances. Manuscript typing costs are excluded from this program. It is anticipated that individual grants will be small — generally well under \$1,000. Applications may be submitted at any time. Funding decisions will be made monthly by a committee of the Research Council and the Office of Research Administration. Contact the Office of Research Administration, 4-3466 for further information.

A steadily increasing amount of external support is available through a variety of grants, contracts, and gifts, which faculty are strongly encouraged to seek. Such money comes from government, business, industry, foundations, and individuals.

Considerable research is also conducted by the faculty without extra financial support, simply on their own initiative and motivation. The University tries, however, to assist faculty members in finding suitable support from appropriate sources.

## 5.5 RESEARCH OFFICE

Procedures for the preparation of proposals are covered in detail in the Research Information and Policy Manual, copies of which are available in the Office of Research Administration and in departmental offices and at website <http://www.ra.utk.edu/ora/>.

This manual deals with such topics as allowable costs in federally funded research, proposals and grant processing, personnel costs, indirect costs (overhead), staff fringe benefits, cost sharing, and establishment of accounts.

Initiation of proposals for grants and contracts is the prerogative and responsibility of the faculty. The Office of Research Administration seeks to assist the faculty in this enterprise.

## **5.6 RESEARCH CENTERS**

Many research centers have been established at UTK for interdisciplinary research devoted to scientific topics, issues, or problems. Proposals for new research centers are submitted through the Department Head and Dean to the Office of Research Administration for administrative review and approval before submission to potential sponsors. Such proposals are usually reviewed also by the Research Council, which is asked to give advice on their merits and feasibility.

Many interdisciplinary or other specially oriented programs are, of course, simply handled through informal cooperative arrangements among faculty and departments.

## **5.7 RESEARCH POLICY ISSUES**

### ***5.7.1 The UT Research Corporation***

The University of Tennessee Research Corporation (UTRC) was chartered in 1935 as a nonprofit organization to encourage research by the faculty. Statements of policy on all research matters are available in the UTRC office, 415 Communications Building, UTK.

### ***5.7.2 Conflicts Of Interest***

Questions of conflict of interest sometimes arise; outside interests may be favored, benefits may be improperly distributed, or personal financial interests may be inadequately disclosed. The University endorses the joint statement of the Council of the American Association of University Professors and the American Council on Education on preventing conflicts of interest in government-sponsored research. Refer to Fiscal Policy Statement 05 section 015 concerning General Policies on Conflict of Interest.

### ***5.7.3 Patents And Copyrights***

When the University agrees to render specified services under a contract or grant, it may be obliged to grant certain rights in connection with data developed, copyrights, inventions, etc. Persons working on the grant or contract will be required to sign a disclosure related to creations and inventions. A copy of the disclosure form may be obtained from the Office of the Associate Vice Chancellor for Research.

In sponsored research, the sponsors' criteria for patent rights and copyrights will prevail. Therefore it is important for the project director to be thoroughly familiar with the patent and copyright regulations applying to any grant or contract, whether they be in the award document itself or included by reference to other documents, such as Federal Procurement Regulations.



If patentable or copyrightable items should be developed at University expense, these items may be handled through the UTRC. Items developed independently by faculty may be handled through the Corporation at the discretion of the individual. Persons who require assistance from the UTRC should contact its President through the office of the Associate Vice Chancellor for Research.

#### **5.7.4 Special Review Requirements**

Several kinds of research require special review. These include research involving potential hazardous experiments, narcotics and other dangerous drugs, and/or human subjects.

The University is morally and legally bound to observe a high level of professional care in these situations. Presently, there are three review committees.

1. The Institutional Review Board. Federal law requires specific approval and continuing review of research involving human subjects in the social, physical, or biological sciences, or in education, law, or humanities. The University has an established procedure for reviewing proposals for research that involves human subjects. Application for review by the Institutional Review Board must be made before the research is initiated.
2. The Committee on Radioactive Substances is responsible for reviewing, authorizing, and monitoring the use of all radioactive substances on campus. Research involving potential experimental hazards associated with use of toxic materials, infectious organisms, and genetic recombination also require review.
3. The Biohazards Committee is responsible for reviewing proposals for research involving such materials and/or procedures.

The Federal Controlled Substances Law of 1971 regulates the legal handling of narcotics and other dangerous drugs ("controlled substances") in an effort to reduce illicit drug traffic. Persons using narcotics or other dangerous drugs in their research or teaching programs involving either human beings, lower animals, or plants must register through campus channels with the state and obtain a registration number for each research project.

The faculty member should discuss with the Department Head the need for narcotics and/or dangerous drugs during the early planning stages of a research project or instructional program.

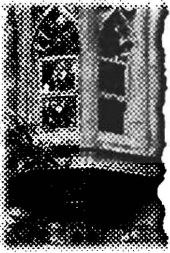
Guidelines for special review requirements are available in the Office of the Associate Vice Chancellor for Research. Because of the necessary lead time for review, it is important to contact the chair of the appropriate review committee at an early stage of proposal preparation.

### **5.7.5 Classified Research And Proprietary Restricted Research**

A researcher should inform the department head, the dean of the researcher's college, and the Associate Vice Chancellor for Research of any classified or proprietary projects. Should research *become* classified in the course of a project, the principal investigator should inform the above members of the University administration. In sponsored research, the principal investigator should check the appropriate box on Form ORA-001 indicating the nature of the project. It is the responsibility of the principal investigator to ensure the protection of research material.

A basic principle in graduate education is that theses and dissertations produced by graduate students will be published and made available promptly to other researchers in the field. When a graduate student is involved in classified or proprietary research, and such research is intended to lead toward a thesis or dissertation, prior approval should be secured from the Department Head and Dean, and from the Associate Vice Chancellor and Dean of The Graduate School. Should research *become* classified in the course of a project, these same persons should be notified immediately so that proper procedures can be assured. Failure to comply with these requirements may lead to the rejection of a thesis or dissertation manuscript.





# Official Travel

6

(NOTE: The travel regulations of the University of Tennessee are set forth in Statement No. 05, Section No. 070 of the Fiscal Policy Statement. These policies are changed and updated from time to time to correspond with changes in the travel regulations of the State of Tennessee. For specific information, please consult the FPS notebook in departmental or collegiate offices or call the Treasurer's Office at 4-3086.)

Faculty members are encouraged to attend and participate in professional meetings as part of their professional growth and development. Travel must be required for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives.

## 6.1 GENERAL POLICY

1. The regulations in this section govern travel at University expense. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with these regulations.
2. General University travel is on the basis of reimbursement for the actual and necessary expenses incurred, subject to the limitations given here. Original, itemized receipts must be submitted with the travel expense report for each expenditure of \$4.50 or more, except for meals, taxi fares, and tolls. An accurate record must be kept of expenses incurred, since reimbursement will not be made on estimates. Allowances in lieu of expenses will not be approved except in the case of mileage for use of private automobiles and for meal allowances as provided within this policy.
3. Travel expenses paid from special grant or contract funds will be in accordance with provisions of the grant or contract where such instruments specify travel regulations. If there are no specific provisions in the grant or contract pertaining to travel, expenses will be reimbursed in accordance with University regulations.
4. Expenses incurred at the official station of any officer or employee will not be allowed. The official station is office headquarters or the designated location of employees established in the field. Deviations must be justified and authorized in advance.
5. The limits on travel expenses authorized by the University should not be construed as an indication of amounts to be spent. They are maximum amounts above which reimbursements cannot be made.

## 6.2 AUTHORIZATION FOR OFFICIAL TRAVEL

1. A completed Travel Authorization Form (No. T-18) must be executed by each individual prior to departing for official out of state or foreign travel. The Travel Authorization forms are available from the Treasurer's Office or local business office. In-state travel at University expense does not require documented approval, but units may wish to develop procedures for monitoring in-state travel.
2. Requests for authorization must show the purpose of the trip, destinations, length of travel, dates of departure and return, and mode of transportation.
3. The original of the approved Travel Authorization (Form T-18) must be attached to the expense report (Form T-3) when submitted for reimbursement.
4. Deans, Directors, Department Heads, and others authorized to approve travel requests are guided by the following considerations:
  - a. The travel must be necessary for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives.
  - b. Meetings and conferences to be attended must be of a professional nature and directly associated with the individual's duties and role within the University.

## 6.3 TRANSPORTATION EXPENSE

Transportation for persons traveling alone should be by common carrier (air, train, bus) whenever practical. Advantage must be taken of reduced round-trip rates when available. Travel must be by the most direct route possible. Individuals traveling by an indirect route must bear any additional expenses.

*Exception:* When discount fares are made available which result in a savings to the University by extending a trip using personal time, the reimbursement will be limited to the lesser of the actual expenses incurred (subject to the limitations contained herein) or the amount that would be incurred for the business portion only. The calculations for the business portion of the trip must be made using the least expensive rates available. A complete explanation of the savings resulting from the discount fare must be provided to claim additional subsistence expenses resulting from extension of the trip.

Travel by airplane is recommended when the cost of the employee's time is an important factor or when travel time by other methods would increase the subsistence expense. Accommodations should be limited to tourist or economy class. If more expensive accommodations are required, an explanatory notation must be made on the request for reimbursement. Advantage must be taken of reduced round-trip fares when available.

1. Employees must purchase their tickets and secure reimbursement through a travel expense report (Form T-3) after travel is completed. The traveler's copy of the transportation ticket showing itinerary and cost must accompany Form T-3.

2. Air transportation tickets may be purchased in advance (not to exceed 30 days prior to departure) directly by the University for students, new employees, and non-University employees authorized to travel at University expense.
  - a. To receive air transportation tickets in advance, the department must submit an approved Travel Authorization to the Treasurer's Office or appropriate campus/unit business office. The T-18 must be accompanied by a memo requesting this accommodation and presenting basic information concerning the trip (e.g., origin, destination, preferred travel dates and times, and name of travel agency or airline to be used.)
  - b. All arrangements for the purchase of tickets must be approved by the Treasurer's Office or the appropriate campus/unit business office. Upon approval, the department will be issued a Transportation Request Number and may proceed to contact the travel agency or airline to arrange for the purchase and delivery of tickets.
  - c. Any ticket or portion of a ticket not used must be returned immediately to the Treasurer's Office or appropriate campus/unit business office which will secure the proper refund.
3. The University currently allows mileage credits for frequent flyer programs to accrue to the individual employee. However, the University will not permit any additional expenses such as circuitous routing, extended stay or layovers due to scheduling a particular carrier, upgrading from economy fare to first class (to accumulate additional mileage), additional overnight stays, etc., for employees participating in the program.

Travel by private aircraft should be limited to those situations for which air travel is justified and where commercial service is not available between departure and destination points or cannot accommodate necessary time frames. Under these conditions, reimbursement for official travel by private aircraft per round trip will be the lesser of (a) the actual rental expenses of the aircraft or (b) an allowance for land miles traveled in accordance with Fiscal Policy Statement 05.

Automobile transportation may be used when common carrier transportation cannot be scheduled satisfactorily, or to reduce expenses when two or more University employees are traveling together.

- a. If necessity or economy requires travel by automobile, a University-owned automobile may be used when available. Although a credit card is supplied with Motor Pool vehicles, users of University-owned automobiles are encouraged to obtain gasoline and oil from UT Motor Pool facilities or Tennessee State garages whenever possible.
- b. A University employee may utilize a personally-owned automobile for official travel provided the University will incur no additional expense above that of

other forms of transportation available. The expense account must indicate the traveler's itinerary and must show the official business mileage by odometer reading. If an indirect route is used, mileage as indicated in the Rand-McNally mileage table will be regarded as official.

Charges for automobile rental shall be allowed whenever it is more economical than alternative methods of transportation or it is the only practical means of transportation. An original itemized receipt must be obtained and submitted with the request for reimbursement.

Personal Accident Insurance afforded by car rental agencies, which provides personal benefits for the renter, is a personal expense of the renter and is not reimbursable by UTK. If the employee desires this coverage, the charge and applicable tax must be deducted from the car rental receipt prior to submitting the request for reimbursement.

The University provides physical damage insurance for "non-owned" automobiles used by University employees in the course of their employment; therefore, collision damage insurance should not be requested when renting vehicles since such insurance is duplicative and is not reimbursable. If this insurance is included on the car rental statement, the charge and applicable tax must be deducted prior to submitting the request for reimbursement.

## **6.4 MISCELLANEOUS TRANSPORTATION-RELATED EXPENSES**

Reasonable tolls will be allowed where necessary.

1. Necessary charges for parking are allowed provided that the airport parking fees do not exceed normal taxi fare to and from the airport. Receipts are required when airport and hotel parking are claimed.
2. If an individual travels by common carrier, reasonable taxi fares will be allowed for necessary transportation. It is expected that bus or limousine service to or from airports will be used when available and practical. In traveling between hotel or lodging and meeting or conference sites, reasonable taxi fares will be allowed. (No receipt for this expense will be required, but each must be individually listed on the travel expense report and destination must be given.)

## **6.5 SUBSISTENCE AND RELATED EXPENSES**

1. Lodging arrangements are the responsibility of each employee and deposits cannot be prepaid by the University. If an employee is required to pay a deposit, the amount of deposit will be reimbursed as part of the lodging expenses. See FPS No. 05 for limitations on in-state and out-of-state lodging.
2. University representatives going to official meetings and conventions are authorized to stay and to be reimbursed for the official convention lodging

rate, at the officially designated headquarters hotel or motel of the convention or meeting; however, more moderately priced accommodations must be requested whenever a choice is available. Special consideration will be given in such situations provided written request setting forth the name of the headquarters hotel or motel is shown on the Authorization Request Form.

3. The expense for shared lodging may be reimbursed to one employee if only one original itemized lodging receipt is obtained and the name of the other employee is provided on the request for reimbursement.
4. If a room is shared with someone other than a University employee, actual cost subject to the maximum above will be allowed. The receipt for the entire amount must be submitted with the expense account.
5. There is a \$4.00 allowance for hotel check-in and baggage handling.
6. While on official travel within the State, a meal allowance of \$24.00 per day will be reimbursable. (\$5.00 for breakfast, \$8.00 for lunch, \$11.00 for dinner). Outside the State, a meal allowance of \$32.00 per day will be reimbursable. (\$7.00 for breakfast, \$10.00 for lunch, \$15.00 for dinner).
7. Foreign lodging rates will be reimbursed up to \$117.00 per day plus tax and a meal allowance of \$32.00 per day. Group lodging and meals should be billed directly to the University. (see Fiscal Policy No. 05).
8. When the daily limit for meals is exceeded because of the cost of an official banquet, the excess will be allowed provided a receipt or proper explanation for the banquet charge is submitted with the expense report.

The hour and date of departure and the hour and date of return must be shown on the travel expense report. Employees on overnight travel status not claiming lodging should furnish an explanation to claim meal allowances.

## **6.6 MISCELLANEOUS EXPENSES**

- I. Registration in the amount necessary to qualify individuals to attend conventions, meetings, conferences, workshops, etc., will be allowed provided attendance at such functions is appropriately authorized. The two methods for payment of registration fees are:
  - A. The traveler may pay the fee from personal funds, obtain an original receipt, and claim reimbursement on the travel expense report, or
  - B. The traveler may submit the registration forms and a Special Order and Remittance Form (T-29) along with the Travel Authorization Form to the Treasurer's Office at least 2 weeks prior to the deadline for the meeting. Any enclosures to be mailed should be included with the form since the check will be mailed directly to the conference and will not be returned to the department for mailing.



- II. Charges for long-distance telephone calls made on official business will be allowed provided the expense report reveals the name and location of the party called, the date of the call, and the purpose of the business. Telegram expense will be allowed provided similar information is shown. Necessary local telephone calls made on official business will be allowed.
- III. It is acknowledged that certain entertainment expenses can be recognized as a proper expenditure of University funds. The determination of the appropriateness of an entertainment expenditure is to be made prior to the incurring of such expense by securing advance approval of the appropriate Vice President, Chancellor, or designee.

The individual incurring the expense should obtain an official receipt from the establishment providing the service if payment is by cash, or, if payment is made by use of a personal credit card, a copy of the credit card receipt may be furnished in lieu of the official vendor receipt. Reasonable tips and gratuities included on the receipt are reimbursable.

The individual incurring the expense should prepare a request for the reimbursement (Form T-3) setting forth the purpose of the expenditure, the identity of the group or a listing of attendees if not a recognized group, the number of attendees, and the approval of the appropriate Vice President, Chancellor, or designee.

Tips and gratuities (unless allowable by FPS No. 05), laundry, valet services, etc., are considered personal expenses and will not be subject to reimbursement on travel expense reports.
- IV. When frequent use of a privately owned automobile for official local travel in the surrounding area of the employee's official station is required, the employee may be reimbursed at the rate of \$0.24 per mile. Local travel is defined as travel within a fifty-mile radius of the official station.

## **6.7 AMERICAN EXPRESS TRAVEL CARD PROGRAM**

The American Express Travel Card Program at the University is designed to provide employees with a convenient method to meet travel expenses. Cash advances may be requested in case of financial hardship resulting from travel of long duration. (For further information regarding American Express cards consult FPS No. 05.)

## **6.8 CASH ADVANCES**

Generally, cash advances will be made to the following groups or individuals for approved University travel:

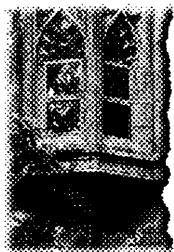
1. New employees
2. Students traveling on University business
3. Team travel—travel manager for the team
4. Tour groups—tour director

5. Employees traveling outside the continental United States
6. Temporary employees
7. Non-exempt employees

Upon completion of the appropriate paperwork, cash advances for travel may be made from petty cash funds maintained in the Treasurer's Office or in campus/unit business offices. These advances constitute a loan to the individual from petty cash funds which must be repaid within thirty days after completion of the travel.

A written request signed by the department head must be received by the appropriate business office 5 days prior to the date the cash advance is needed. The original completed travel authorization and an itemized estimate of expenses must accompany the request for the advances. Advances are limited to a maximum of 80 percent of estimated reimbursable travel expenses, except for team and tour travel which may be advanced at 100% of estimated travel costs.





# Compensated Outside Services

7

Full-time faculty members appointed to the University agree to devote themselves to the University's mission of teaching, research, and public service. Fulfillment of these responsibilities demands a full-time commitment to normal University duties, including remaining current in the discipline to which the faculty member is appointed. Thus, for many faculty members, an important part of this pledge lies outside the University classroom and laboratory. So the University encourages the faculty to engage in consulting and other related outside services which are associated with an individual faculty member's appointment and which develop his/her professional expertise. By these means, many faculty members improve their disciplinary skills; they serve educational institutions and professional organizations, business, industry, and government; and they bring positive recognition to the University.

The following guidelines primarily concern long-term or continual short-term arrangements between faculty members and clients. Occasional, short-term, non-recurring activities such as participation in symposia, accreditation visits, research paper presentations, exhibitions, or recitals are not covered by these guidelines, but faculty members should notify and secure approval from their department head in advance of such activities.

The provisions of this policy do not apply to income-generating activities covered by a specific Professional Activity Allowance Agreement.

In the conduct of outside services, faculty may not make any use of the name of The University of Tennessee or of any of its constituent institutions for any purpose other than professional identification of the faculty member, nor may they claim any University or institutional responsibility for the conduct or outcome of such activities.

Each UTK unit is expected to have procedures to ensure that professional development is encouraged, within the context of each faculty member's meeting his/her regular University responsibilities in a timely and effective manner.

## 7.1 PROVISIONS:

1. All anticipated outside services should be reported to the department head as part of the annual performance-review process. Each faculty member and his/her department head should agree to the faculty development benefits to be gained by the planned outside services. During the period prior to the next performance-review, significant changes to this agreed-upon plan should be reported to the faculty member's department head.

2. Each faculty member should report his/her prior allocation of effort regarding outside services on the Faculty Effort Certification Report Form. This information also should be used as part of the subsequent annual performance-review process.
3. In general, faculty members on a nine-month appointment are expected to perform University-related activities for a nine-month academic year (AY). Thus, these faculty should normally limit their outside services to no more than an aggregate of twenty percent (20%) of their total (100%) University effort during a given academic year, exclusive of non-AY course schedules (summer session, mini-term, etc.) but including grants of released-time.
4. In general, twelve-month faculty members are expected to perform University-related activities for a twelve-month year. Faculty members on twelve-month appointments are covered by the same University of Tennessee Personnel Policies and Procedures which apply to administrative or professional personnel of the University. To provide equitable treatment of nine-month and twelve-month faculty, the latter should normally limit their outside services to no more than a aggregate of 20% of their total University effort (including accrued annual leave days taken and grants of released-time) during a given calendar year, upon approval of the department head and dean.
5. Nine-month faculty employed full-time on the University payroll during the summer months (e.g. summer school teaching, work on grants and contracts), should ensure that their annual total of outside service activity is limited to 20% of their total University effort per calendar year. For less than full-time summer employment, the limit of outside services will be established by agreement between the department head and the faculty member.
6. Upon approval by the department head and dean, additional time for outside services may be authorized for faculty members whose performances warrant such confidence. Similarly, the department head and dean may restrict outside service effort to less than the norm if a faculty member's performance of assigned activities is less than satisfactory.
7. Faculty on grants/contracts/awards must adhere to requirements concerning percent time service, expressed or implied. Official regulations governing the administration of Federal grants and contracts allow extra services of faculty and other professional employees to be charged to Federal grants and contracts only under the conditions (a) that extra consulting or other services required is across departmental lines and (b) that prior written approval of the governmental agency has been obtained. In the event that compliance with these stated procedures exists, charges for extra services to contracts and grants must be at the same effective rate as the faculty member's current University salary. In such cases, procedures often require that time and effort for such work on grants and contracts be budgeted, reported, and paid on a daily or hourly basis. Faculty members should ensure that proposal documents are consistent

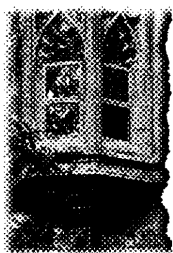
with campus research policies. (i.e., grants and contracts should have the workload planned and budgeted on a percentage-of-effort basis. Daily or hourly regulations for faculty and professional staff time should be used only when computing appropriate compensation for extra services on grants and contracts, when specifically required by sponsors, or when short periods of services are required on grants and contracts.)

During the academic year, activities reimbursed as extra-service pay are counted as outside service effort, except that extra-service pay for outside services performed on behalf of the UT Institute for Public Service shall be excluded from the 20% norm. Otherwise, activity covered by extra-service pay and outside services combined should not normally exceed 20% of a faculty member's academic year effort.

8. Use of University facilities, equipment, personnel, or students may not conflict with regular University operations. With the exception of facilities for the use of which there are established procedures and fee schedules, University facilities, equipment, or services may not be used in the performance of outside services without written agreements and authorizations specifying the nature of work to be performed, the kind of equipment, supplies, material or services to be used, the extent of the use, and the amount to be paid to the University. The amount may not be less than the University's cost or a fair market value. The agreement must be approved in writing by the appropriate department head, or director, and the chief budget officer.
9. Noncompliance with this policy on outside services may be considered a negative factor in promotion and tenure decisions, salary determinations, and requests for released time and other institutional support. Serious and/or continuing noncompliance also may result in other sanctions (e.g., salary reduction, restitution for cost of equipment, termination for cause).

This policy is intended to be consistent with The University's policies regarding conflict of interest, ownership of commercial ventures, etc.





## Development And Alumni Affairs

8

While the University of Tennessee, Knoxville, receives major financial support from the State of Tennessee (generally between 35-40% of its operating budget), much of its support comes from private donors who want to see the academic programs of the University prosper in special ways. Private gifts represent an important resource that make possible a great variety of activities for which state appropriations are not available or sufficient. Gifts to the University make an enormous difference in the quality of academic programs. Gifts from individuals, corporations, and foundations provide endowed chairs, professorships, faculty development grants, scholarships and graduate fellowships, library acquisitions, some equipment, and new programs.

In recent years, UT, Knoxville, has received (on average) approximately \$ 25 million annually in private support from alumni and other individuals, corporations, and foundations (the average number of donors is 24,000 annually). A majority of these gifts are modest in amount, but the sum constitutes a kind of voluntary support that creates a solid bond between the University and its alumni and friends. Faculty members can play an important role in helping create and sustain this bond. For example, faculty members are encouraged to send appropriate acknowledgment letters to donors (in addition to letters from University officers), or to report to donors on an annual basis the progress of a certain project which the donor may have funded. Faculty members are also often called upon to speak to local civic organizations or groups, or to present programs for groups such as the university-wide Development Council, the UTK Chancellor's Associates, or the Boards of Visitors for one of the respective colleges or departments.

The primary responsibility for coordination of all private fund-raising and other development activities at UT, Knoxville, lies with the Office of the Vice Chancellor for Development and Alumni Affairs. Coordination and planning ensure that prospective donors do not receive unwarranted, multiple, or inappropriate solicitations.

It is important to note that all fund raising costs are covered by state appropriations. There is no University of Tennessee Foundation, nor are there any separate foundations associated with UT, Knoxville or any colleges or units. One-hundred percent of any gift designated for a specific college, department, program or project goes to benefit that effort. Gifts may be made for outright support, or may be used to establish an endowment (with only the annual income being used to support a particular program).

Campus-wide fund raising priorities are established by the Chancellor, with appropriate consultation with the Vice Chancellor for Academic Affairs and other members of the Chancellor's staff.



Deans on the UT, Knoxville campus also play a vital role in fund raising activities. Deans are responsible for working with department heads and faculty in establishing fund raising priorities for their colleges. They also assist in calls on major prospects and work with the directors of development in coordinating activities of the Boards of Advisors/Visitors for the college. Some departments within the various colleges have formed their own advisory councils (with approval of the deans). In those instances, the department head works with the dean and the director of development for the college in coordinating meetings.

The Campus Development Office and the respective collegiate development offices are not responsible for proposals to state or federal agencies, nor for contracts between the University and private corporations. (For such contracts, see Chapter 5.) However, the Campus Development Office and the Office of Research cooperate on projects which might be funded through public agencies but which also have an appeal to potential private donors. As a rule, the Campus Development Office is responsible for solicitations of individuals, corporations, private foundations, and deferred giving prospects.

## **8.1 GIFTS TO THE UNIVERSITY**

Recording and acknowledging gifts to the University of Tennessee is another responsibility of the Campus Development Office. All private gifts received by faculty members, departments, colleges, or other units (as well as related materials such as correspondence and memoranda) *must be forwarded immediately* to the Campus Development Office, which will deposit such gifts in the appropriate account, register the gifts through the computerized Alumni and Development Information System (ADIS) and promptly acknowledge receipt of the gift. The Development Office sends reports of gifts to deans on a weekly basis, detailing gifts restricted by a donor for use in the respective college or unit. It is the responsibility of the deans, in turn, to notify appropriate department heads or faculty members of such gifts, so that additional letters of acknowledgment may be sent.

## **8.2 MEMORIAL GIFTS AND SPECIAL FUNDS**

Friends and family of deceased alumni, or faculty or staff members, often wish to establish memorial funds honoring the deceased. Requests to establish such funds should be directed to the appropriate director of development in a collegiate office, or through the campus development office. Inquiries concerning special funds (such as those honoring a faculty member upon retirement) should be made in a similar manner. Any solicitations for special funds of any type will be made after the appropriate dean and director of development (for the college of unit) have given their approval and participated in the planning process.

### **8.3 REQUESTS FOR FUND-RAISING ASSISTANCE**

One of the major responsibilities of the campus development office and the respective college development offices is to provide consultation and assistance on new or proposed fund-raising projects. Faculty should direct questions about fund-raising methods and practices to their dean and the director of development in their college.

Requests for assistance or ideas for fund-raising should be addressed informally with the director of development and dean at an early stage. Before any solicitation is planned, or any proposal(s) developed, the project or idea must have approval of the department head, dean and Vice Chancellor for Development and Alumni Affairs (who is responsible for informing the Chancellor and staff).

### **8.4 ENDOWMENTS AND EXPENDABLE FUNDS**

An endowment is a permanent fund which earns annual interest through various types of investments. The interest earned is placed in an expendable account for use(es) as specified by the donor(s) to a particular fund. A committee consisting of the President of the University, the Vice President for Business and Finance, the Treasurer, and the Chairman of the Finance Committee of the Board of Trustees meet (and/or consult) regularly with representatives of investment firms to handle the University's investment portfolio.

As of July 1, 1994, the University-wide endowment exceeded \$310 million, ranking the University of Tennessee's endowment tenth among public universities in the nation.

The minimum amount which will be considered for an endowment of any type is \$15,000. When an endowment is to be established, the appropriate development officer is responsible for drafting a memorandum of agreement and the accompanying administrative provisions. The memorandum of agreement is a standardized document and is a guide to ensure that the annual income from the endowment will be used in accordance with donor(s) wishes. The accompanying administrative provisions (which must always remain attached to the memorandum of agreement) generally provide background concerning the donor(s) and outline the specific restrictions for uses of the income. There are three originals of the memorandum (and provisions) which are signed by the donor(s) and appropriate University officials. The donor(s) receives one original copy, and the two remaining originals are filed in the offices of the General Counsel and Treasurer, respectively. Copies are maintained in the development office and appropriate college and department.

Members of the faculty and staff may be called upon to assist the college or campus development office in the preparation of these documents, since funds usually go to assist a particular project, department, area, or college.

When it is not possible to get the approval of a donor(s), as in the case of a deceased individual who has left a sum of money to the University for an endowment, the development office works with appropriate individuals in drafting a set of guidelines for uses of the money (the development office follows the wishes of the donor as specified in

the will). These guidelines are then reviewed and approved by the Board of Trustees and become known as a Quasi-Endowment which bears the names of the donor(s).

Expendable funds (those not requiring an endowment or funds insufficient to form an endowment) do not require a memorandum of agreement. However, the development office will often prepare a memorandum of understanding so that the funds may be used in a manner closely approximating the wishes of the donor(s).

## **8.5 DEFERRED GIFTS AND ESTATE PLANNING**

Many individuals have indicated their desire to aid the University of Tennessee, Knoxville, by including the institution in their wills or estate plans. Sound estate planning can enable an individual to maximize gifts to favorite charities, including the University, while properly caring for members of the family and minimizing the impact of federal estate taxes and state inheritance taxes.

The university-wide Development Office has two full time attorneys (who assist all campuses of the UT system) who specialize in estate planning. The Assistant Vice President for Deferred Giving and the Director of Deferred Giving work with the appropriate vice chancellors and collegiate directors of development, as well as other University officials, in assuring that donors are well informed concerning their best options for a gift (or gifts) and that University interests are being well served. This involves working with the donor's attorney, accountant, or financial advisor (or sometimes combinations of all three) on a confidential basis in developing a sound estate planning strategy.

Persons interested in examining the possibility of a deferred gift, or attorneys, accountants or financial planners representing a potential donor, may be directed to the campus development office, a collegiate director of development or the University-wide Office of Development. All inquiries are handled in confidence.

## **8.6 UNIVERSITY GIFT CLUBS AND RECOGNITION SOCIETIES**

The number of members shown in the following clubs and societies reflect data as of July 1, 1995. University "Clubs" reflect annual gifts from individuals only. University "Societies" reflect cumulative gifts from individuals, corporations and foundations.

*The University of Tennessee has the following gift clubs:*

1. *The Century Club* recognizes persons who contribute \$ 100-299 annually (10,313 members),
2. *The Third Century Club* recognizes persons who contribute \$ 300-749 annually (5,182 members),
3. *The University Circle* recognizes persons who contribute \$ 750-999 annually (3,098 members),

4. *The Presidents' Club* recognizes persons who commit to an annual gift of \$1,000 per year for 10 years, or who have made a minimum \$ 10,000 gift or commitment to the University (2,599 members), and
5. *The Tennessee Society* (begun on July 1, 1993) recognizes persons who commit to an annual gift of \$ 2,500 for 10 years, or who have made a minimum \$ 25,000 gift or commitment to the University (319 members).

In 1981, as an outgrowth of the successful "Tennessee Tomorrow Campaign" The University established three new societies designed to recognize the cumulative gifts of individuals, corporations, and foundations:

1. *The Heritage Society* recognizes gifts totaling \$ 50,000 or more (443 members),
2. *The Benefactors Society* recognizes gifts totaling \$ 100,000 or more (574 members), and
3. *The Founders Society* recognizes gifts totaling \$ 1 million or more (102 members).

Faculty and staff members may designate their gifts for a specific project, department, or college, or make unrestricted gifts to the campus. Such gifts may be forwarded directly to the Development Office, or may be made through the payroll deduction plan. Faculty and staff wishing to participate may contact the UTK Campus Development Office or the Director of Development for their respective college or unit.

## **8.7 THE CHANCELLOR'S ASSOCIATES**

The Chancellor's Associates is a group of approximately 75 individuals from throughout the greater Knoxville area who meet monthly with the chancellor, deans and other University officials during the academic year. Members serve three-year terms (25 members rotate on/off each year). The Associates program was initiated in 1972. The monthly programs highlight various programs, colleges and activities within the University, and faculty and students often participate. The purpose of the Associates program is to develop a core of advocates for the institution, and give a cross section of individuals a greater appreciation for, and understanding of, the UT, Knoxville campus. The Office of the Vice Chancellor for Development and Alumni Affairs is responsible for coordinating the activities of the Chancellor's Associates.

## **8.8 THE DEVELOPMENT COUNCIL**

The Development Council is a University-wide group of some 75 individuals from throughout the state and nation who assist all campuses in raising private gifts. The chair of the UTK, Chancellor's Associates (and the chairs of similar councils on other UT campuses) automatically serves as a member of the Development Council. The Council was formed in 1955 and as of July 1, 1994 had assisted the UT system in securing more

than \$ 400 million for academic programs state-wide. The Council holds its annual fall meeting in Knoxville and rotates the spring meeting between UT campuses at Chattanooga, Martin, and Memphis. The University-wide development office is responsible for coordinating activities of the Development Council.

## **8.9 THE 21ST CENTURY CAMPAIGN**

On October 7, 1994, the University of Tennessee launched a University-wide effort known as the 21st Century Campaign. The Campaign is the largest in the 200 year history of UT and seeks a minimum of \$250 million in private gifts, primarily in endowments. UT, Knoxville's goal in the campaign is \$130 million and is aimed (principally through a series of collegiate campaigns) at strengthening support for (1) faculty (through endowed chairs, professorships and faculty development programs); (2) students (through undergraduate scholarships and graduate fellowships); (3) The libraries (a number of endowments for the purchase of books and special collections are needed); and (4) a host of other needs that include equipment and support for numerous programs in a variety of areas. The 21st Century Campaign will run through June 30, 1998.

The Campaign was undertaken after the respective deans had established priorities for their colleges and some 300 key potential donors were interviewed during a feasibility study which was completed in 1992. All development activities on the UT, Knoxville campus through the duration of the campaign will be focused on exceeding the minimum goal. The deans and faculty, as well as the Chancellor and other administrative staff, will play a vital role in the success of the 21st Century Campaign.

Note: From January 18, 1995 through March 31, 1995, the "Family Campaign" among UTK faculty, staff and administrators raised more than \$2.2 million. The participation rate was 70 percent.

## **8.10 BOARDS OF VISITORS AND DEVELOPMENT ACTIVITIES IN INDIVIDUAL UNITS**

A natural growth of successful development efforts in some colleges has been the formation of Boards of Visitors or Advisors to the college. In these instances, the deans of the respective colleges bring together individuals who have a specific interest in its work and mission. Boards of Visitors or Deans' Advisory Councils are now in place in all colleges at UT, Knoxville. Generally, the Director of Development for a particular college works with the dean and members of the dean's staff in coordinating the activities of the respective Board of Visitors or Deans' Advisory Council.

## **8.11 THE UTK DEPARTMENT OF ALUMNI AFFAIRS**

As of July 1, 1995 UT, Knoxville had approximately 175,000 living alumni. The Department of Alumni Affairs at UT, Knoxville, has responsibility for planning and implementing programs for these graduates of the Knoxville campus. The UTK Alumni

Affairs Office works closely with the UTK Development Office and the University-wide Office of Alumni Affairs and Annual Giving to provide meaningful activities and programs for the alumni constituency of the Knoxville campus and to encourage alumni to maintain an active interest in their alma mater. The campus office also has responsibility for planning programs for undergraduate students so that they become involved in programs of the National Alumni Association before their actual graduation from The University of Tennessee. Questions about alumni activities or requests for assistance should be directed to the Campus Alumni Office (Tyson Alumni House, 1609 Melrose Avenue, phone 974-5432). Various activities coordinated through the UTK Office of Alumni Affairs include:

*Alumni Summer College.* Since 1984, UTK and the University-wide Office of Alumni Affairs have sponsored a one-week program for an average of 100 alums and non-alums, singles, couples and families interested in participating in academic programs on the Knoxville campus. A wide variety of subjects, taught by UTK faculty members, are offered. In addition to attending classes, participants have an opportunity to participate in area recreational activities.

*Volunteer Alumni Network (VAN) Program.* This program assists in recruiting superior students from across the state and nation. Approximately 260 UTK alumni work on a volunteer basis to identify outstanding students in their local areas, to make personal contacts with these students and others whom we identify on behalf of UTK, to represent The University of Tennessee at college night programs at local high schools and to encourage the students to visit the UTK campus. Recruitment parties hosted by VAN members are held in the fall and spring across the state and in the Atlanta area; approximately 2,000 top high school juniors and seniors annually receive personal attention from UTK alumni, faculty and administrators through these events. Handbooks are provided to network members and special training sessions are offered on the UTK campus. The UTK Office of Alumni Affairs works closely with the UTK Admissions Office in coordinating this program.

*Reunion Activities.* This office seeks to provide special programming throughout the academic year for alumni who were members of special organizations during undergraduate days. Groups such as UTK Torchbearers, UTK Singers, and Neyland Scholars have benefitted from such reunions in recent years. Likewise, the office has worked with specific departments and colleges in helping organize reunions for respective graduates of those programs.

*Class Reunions.* Each fall, graduates of specific classes (based upon five-year increments) are invited to return to the campus to attend class reunions during homecoming weekend. Each class participates in individual activities for that class, and several colleges and departments also hold special homecoming events for their graduates during this time.

*Golden Grads.* During the month of May, members of the University's Golden Grads (persons who graduated from UTK fifty years ago or more) return to the campus for the Golden Reunion Weekend. The group participates in three full days of special activities.

There is a banquet which honors the current class of Golden Grads, who are presented with "special diplomas." There are special campus tours offered, a variety of programs related to the University and generally a special trip to an area of interest such as historic Jonesboro, the Biltmore House and Gardens or other nearby attractions.

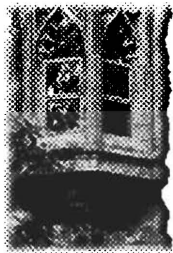
*Student Alumni Associates (SAA).* This program seeks to involve undergraduate students in alumni programs. The SAA sponsors a "Summer Jobs Festival," a program designed to assist students in securing summer employment. An Alumni Referral Service puts graduating seniors (and older alumni as well) in touch with alumni contacts in cities throughout the nation to which they are moving. SAA members are also encouraged to assist with alumni events such as National Alumni Association chapter meetings, phone-a-thons, reunions, and receptions following athletic events.

*Black Alumni Associates.* The Black Alumni Associates serve as a liaison group between black alumni, the UT Knoxville campus, and the National Alumni Association. The Board of Directors for the Black Alumni Associates is composed of 25 members, 20 elected and 5 appointed by the UTK Chancellor. The Board's goals are to encourage participation in National Alumni Association programs, to develop programs of special concern to black alumni, to assist in the recruitment of minority students, and to encourage participation by black alumni in the NAA Annual Giving Program. The Black Alumni Associates meet once in the fall and once in the spring, and newsletters containing articles of special interest to black alumni are distributed twice a year.

*Torchbearer.* The Department of Alumni Affairs cooperates with the Office of University Relations in publication of *Torchbearer*, which is mailed four times a year to all UTK alumni. This publication highlights outstanding students, carries a schedule of events and articles of interest to alumni, as well as "alumni news notes." It is mailed to some 100,000 individuals.

*Speaker's Bureau.* The office coordinates activities of the UTK Speaker's Bureau. A handbook featuring pictures and brief biographical sketches of some 75 faculty and staff members available to speak to civic organizations and other groups is published every two years. Organizations interested in securing a speaker for their program may contact the Alumni Office, and that office in turn contacts the speaker. Those selected to be members of the Speaker's Bureau represent all colleges and major areas on the Knoxville campus and offer special expertise on a range of topics.

*Other Projects.* The UTK Alumni Affairs Office also has the responsibility for the selection of UTK's four alumni outstanding teachers, assists the university-wide Alumni Office with Knox County NAA chapter meetings, and represents the campus at the UTNAA Board of Governor's Meetings and Leadership Conference, gift recognition dinners, Womens' Council Programs, and scholarship events on the Knoxville campus.



# Academic And Research Support Services

9

## 9.1 UNIVERSITY LIBRARIES

The University Libraries contain the largest assemblage of materials in Tennessee. It is the only publicly-assisted research library in the state and is one of only 108 research university library members of the Association of Research Libraries. The University Libraries participate in the teaching, research, and public service programs of UTK by providing access to scholarly information through the acquisition, organization, management, preservation, and arrangement of collections for access and use; through the provision of supportive reference and instruction services; and through a variety of cooperative and reciprocal programs in the state, region, nation and world. As a collaborator in the process of teaching, research, and public service, the University Libraries provide leadership in the access and use of information. It also brings relevant issues to the attention of both the University and the scholarly community at large. The University Libraries' faculty and staff play an important role in advancing research librarianship and improving access, management, and use of information.

The University Libraries provide onsite access to more than 2 million volumes, nearly 3 million microform pieces, more than 14,000 current serials, thousands of audio-visual materials, and millions of manuscript pieces. It also provides state-of-the-art access to remotely located electronic resources, primarily through robust gopher and worldwide web gateways.

The John C. Hodges Library building houses the bulk of the printed collections. Other libraries in the system include the Pendergrass Agriculture/Veterinary-Medicine Library, the George Devine Music Library, the Social Work Library in Nashville; and the Special Collections, Cartographic Information Center, and University Archives, all of which are housed in Hoskins Library. The Law Library is administered separately by the College of Law. The University Libraries' catalog, as well as its on-line library information system, is accessible both on and off campus.

*Materials Selection.* Selection of materials for all units of the University Libraries is a cooperative effort of departmental and library faculty, coordinated by the Collection Services Division. Faculty representatives within each department and library selectors serve as liaisons between the faculty and the Libraries. This arrangement permits the faculty to request materials they believe important for their teaching and research. Faculty members are encouraged to make the fullest possible use of this arrangement.

*Loan Periods.* Books charged to faculty have a standard loan period to May 1 each



year. About a month before that date, all faculty receive a list of all items charged to them. All items must be brought to the library to be either returned or renewed. Current periodicals do not generally circulate; bound journals generally circulate for three days. All items are subject to recall. If the recalled item is not returned within a ten-day period, borrower privileges will be blocked and fines assessed from the new due date forward.

*Reserve Materials.* Materials of all types may be placed on reserve to support the teaching programs; periods of use vary to meet demand. Copies of current syllabi may also be put on reserve. The Libraries make every effort to obtain books and articles needed for reserve. When this is not possible, instructors may place personal copies on reserve. Information on specific reserve procedures may be obtained by calling the Hodges Reserves unit or any branch library. Locating and processing reserve materials takes time, and early submission of reserve lists can help to avoid frustrating delays.

*Proxy Borrowing.* Faculty members may request a proxy borrower's card to be issued to facilitate their use of library materials. Only one card will be issued per faculty member. Materials borrowed with a proxy card are lent for the faculty loan period and governed by loan policies for faculty.

*Courtesy Borrowing.* Spouses and children of faculty members may use the University Libraries. An application form, available at any library, must be completed. Courtesy borrowers may borrow materials for three weeks; a limit of ten items may be charged to a borrower's card at one time.

*Interlibrary Services.* The Interlibrary Services unit, located in the Hodges Library, makes every effort to obtain for UTK faculty, students, and staff books and copies of articles that the Libraries do not own. Although there generally are no charges assessed to the user, Interlibrary Services imposes a limit of ten requests per week per requester. Items obtained by Interlibrary Services are delivered to faculty offices. Forms to request that materials be obtained from other institutions are available online through the Libraries' online information system. Contact Interlibrary Services for more information. The Libraries are a member of the Center for Research Libraries and has reciprocal borrowing arrangements with hundreds of libraries around the world.

*Library Express.* The Libraries deliver copies of materials from its own collections to faculty and graduate students who have offices on campus. Books are delivered and picked up at no charge; small fees are assessed to cover the costs of copying articles and other materials. Contact Library Express for more information.

*Library and Information Instruction.* The University Libraries offer a full array of instructional programs for faculty and students. Library faculty will design programs for individual classes in addition to general sessions and computer-assisted programs available to everyone. Librarians stress critical thinking skills and include the use of new technological tools when appropriate. Contact Reference and Information Services in Hodges Library or any branch librarian.

*Audio-Visual Services.* The Audio-Visual unit in Hodges Library and the branch

libraries provide a wide variety of videotapes, sound recording, audio tapes, multimedia programs, and other materials of relevance to teaching and research. Group viewing rooms and the 149-seat auditorium in Hodges Library may be reserved for group showings, and the unit can arrange to transmit some materials to equipped classrooms around campus. Faculty members may also check out individual items. Branch libraries also collect audio-visual materials.

*Use of Other Libraries.* The Libraries' memberships in the Online Computer Library Center (OCLC) and the Research Libraries Group enable faculty members to use a large number of other libraries without difficulty. Contact Interlibrary Services for information.

*Faculty Studies.* A number of faculty studies are available in Hodges Library. These are available to any faculty member and are assigned on a priority system developed by the University. Because of high demand, two faculty members are assigned to each study. All studies contain connections to the campus network; a small hookup fee is charged to each faculty member desiring connectivity in his/her assigned study. Apply for study assignment at the second floor Circulation desk in Hodges Library.

*Database Searching.* Although many bibliographic and full-text databases are available for searching by the end-user, there are instances in which either the database is not accessible by end-users or complex searches may require the mediation of an expert searcher. Faculty members who wish to use this service should contact the reference staff at the appropriate library for advice about procedures and strategies.

More complete information about the Libraries may be found in the Library Guide series published and updated frequently by the library staff. Copies are available free in each library; popular guides are available online in the Online Library Information System.

## **9.2 INFORMATION INFRASTRUCTURE**

A rich environment of modern computing, including world-wide electronic mail, is available through the UTK computing network, which includes mainframe computers, workstations, microcomputers, and video terminals. Access to this network is available to faculty members through open work areas located on the Knoxville campus, and in many faculty offices. Several computing labs on the UTK campus provide a distributed environment of fully networked microcomputers, workstations, CD-ROMS, printers, and scanners. Off-campus access to the UTK network and the Internet is supported through dialup services.

The Computer Access for Education (CAFE) program provides limited individual computer accounts to students and faculty at no charge. Noncredit short courses, many of which are available on videotape at the John C. Hodges Library, cover levels of computing from personal computing to supercomputing. Online and printed documents describe the availability and use of system hardware and software. An Information Infrastructure Newsletter, published monthly, contains news and events of interest to all users.

The Information Infrastructure Help Desk (4-8200) is available to answer questions concerning access and use of the computing and networking services on the UTK campus.

### 9.3 MEDIA AND INSTRUCTIONAL SUPPORT

*The Photography Center* (91 Communications and University Extension Building) provides photographic services including production of photographs, slides, and 16mm movies. Terms and charges are available at the Center. The Center also provides information and advice regarding the procurement and use of videotape equipment. The Service will also provide maintenance of videotape equipment owned by University departments. Under special circumstances, portable videotape equipment can be made available at minimal cost.

*Publications Service* (293 Communications and University Extension Building) assists faculty and departments in the production of a wide variety of materials for publications. Services include consultation on design and artwork, editing, and assistance in preparation of specifications for on- or off-campus printing.

*Graphic Arts Service* (2021 Stephenson Drive and 260 Communications and University Extension Building) provides a complete printing service. Folders, brochures, booklets, and a variety of other formats can be professionally produced by offset printing for any need, particularly where artwork, photographs, and multicolor printing are desired. Duplication facilities are also available for reports, examinations, theses, and other materials where fast and economical service is a paramount consideration.

*The Teaching Materials Center* (305 Claxton Education Building) houses a substantial collection of 16mm motion pictures available for loan to University faculty members. These films are listed in a catalog, *Educational Films*, available on request from the Center. The Center also provides color slides and overhead transparencies for instructional use, and lends audio-visual equipment needed to play back the materials its clients borrow.

*The Learning Research Center* (Suite 5, Hoskins Library) works with faculty and graduate students on research in learning and teaching and assists them in enriching their teaching practice. A weekly research seminar is open to all faculty and graduate students seeking to address issues in teaching and learning. The LRC provides confidential consultations with individuals and groups regarding all aspects of teaching and learning in higher education, sponsors regular programs on critical issues and practices, and provides a range of materials for and assistance in collecting and interpreting student evaluations of courses and teaching.

The LRC publishes a regular report on research called *Teaching-Learning Issues*, a newsletter for GRAs, and a Handbook for new teachers. The Center maintains a small library on teaching and learning in higher education which is available for faculty use. Other information about current issues and research is regularly disseminated to UTK faculty.

The Center sponsors the annual GTA seminar, administers the SPEAK test for GTAs whose native language is not English and, in cooperation with the Office of the Vice Chancellor for Academic Affairs, sponsors an orientation for new faculty each fall. The LRC also works with the Faculty Senate's Teaching Council and the Chancellor's Teaching Scholars to offer a range of programs, seminars, and workshops. With the College of Education the LRC supports a peer consultation service for GTAs.

*The Office of Institutional Research* (600 Dunford Hall) provides information about research policies, procedures, and attitudes at both the statewide and university levels. This office also consults with faculty members concerning data sources, research design, and past research in a wide variety of subjects. Requests for assistance should be directed to the Office of the Vice Chancellor for Business, Planning, and Finance, 523 Andy Holt Tower.

*The Center for International Education* (1620 Melrose Avenue). The goal of the CIE is to provide the entire UT Knoxville community with comprehensive opportunities for meaningful and productive international and intercultural experiences, whether here in Knoxville or in other lands. CIE provides faculty and students with information and advice about overseas study, research, funding, employment (including lectureships) and travel.

The Center orients and advises students and scholars from other countries and is responsible for the administration of the J-1 Exchange Visitors Program and the University's "H" visa procedures. In addition, CIE administers such study-abroad options as the International Student Exchange Program and the Semester-in-Wales Program.

The new International House (1623 Melrose Avenue) is a CIE programming facility for use by all members of the UT Knoxville community. Throughout the year the "I-House" plans international and intercultural events, often in collaboration with other campus units and organizations, while also providing a quiet place to meet or study.

CIE promotes international linkages by bringing together people with similar academic interests from diverse points on the globe. The Center publishes a *Directory of UT Knoxville Faculty and Staff with International Experience and Fellowships, Scholarships and Related Opportunities in International Education*. Throughout the academic year it publishes *The Link*, a newsletter for international students and scholars, and *International Perspective*, a newsletter for faculty and staff. CIE is also responsible for maintaining international sections of UT Knoxville's *World Wide Web* home page.

## 9.4 OTHER SERVICES

*Transportation Services* (1201 UT Drive) maintains a motor pool, from which faculty members may borrow motor vehicles for travel to meetings or for field trips. Buses may also be chartered for large parties. Authorization must be given by the department head of the unit to be charged.

*The Carolyn P. Brown Memorial University Center* provides a wide variety of facilities and services for educational, cultural, social, and recreational events. Facilities include the Arts and Crafts Center (with equipment and instruction), the Hermitage Dining Room, Smokey's Palace Cafeteria, the Rafters Grill, the Catering Office, the Central Ticket Office, a post office, the Ombudsman's Office, the Student Government Office, and recreational facilities such as bowling alleys, billiard tables, and a TV viewing room.

There is a wide variety of meeting rooms, from small dining rooms to ballroom facilities for large conferences. The Catering Service (Room 126) can cater meals for large and small groups.

*The University Book and Supply Store* (first floor of the Carolyn P. Brown Memorial University Center) provides a full range of supplies and materials, including required and recommended textbooks, a comprehensive range of office supplies, and general materials, such as trade books, paperbacks, and records of all types. Discounts for faculty members are offered on all books and supplies except textbooks. The Bookstore also develops film, cashes checks, makes change, sells a variety of packaged foods, and sells calculators, cameras, and UT souvenirs.

Like the Libraries, the Bookstore is an indispensable resource for the University's intellectual climate. Faculty members are asked to contribute to the Bookstore's services by providing textbook orders in reasonable time for getting the books from publishers and onto the shelves. Suggestions from the faculty about the general selection of books are also encouraged.

*The Office of University Relations* (107 Communications and Extension Building) assists faculty and staff in many ways: Publications, Internal Communications, External Communications, and Special Services.

1. *Publications.* University Communications is responsible for developing undergraduate recruitment publications and for developing departmental materials used for recruiting graduate students and for attracting private and governmental support for research and development. The Office's publications writer and other staff members work closely with faculty and with Publications Services in developing recruitment materials.
2. *Internal Communications.* University Communications writes, edits, and distributes *Context*, a bi-monthly campus newspaper. *Context* is the University's primary internal communication medium. Its purpose is to provide a forum for the exchange of ideas and a mirror to reflect the diversity of disciplines and programs throughout the campus community. Faculty and staff are encouraged to contribute to *Context*.
3. *External Communications.* University Communications maintains a regular channel for contacts between the University community and the news media. Daily calls from newspaper, radio, and television reporters demand prompt and accurate responses. Although faculty members are often contacted by the media directly, they should feel free to use this office as a liaison.

A concerted effort is made to publicize innovative UTK programs that promise to improve the quality of life, that can be understood by a mass audience, and that have a reasonable chance of being used by the media. There are also times when it is necessary for the University to communicate with the media on an urgent basis. This office is equipped to work with faculty in handling such situations effectively.

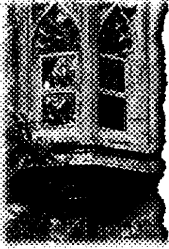
Faculty members are encouraged to contact the University Relations staff when they feel that an activity or event needs publicity. The initial contact should be made well in advance, to provide time for the staff to gather the facts, draft a news release, and determine media distribution. Stories on complex research and service projects and those stories initiated by this office are checked with campus sources for accuracy prior to release.

4. *Special Services.* The Office of University Communications provides campus guides and maps, facts folders, and other information to faculty members hosting scientific meetings, conferences, or out-of-town guests. Assistance is also offered in drafting news releases for professional meetings and conferences in which UTK faculty participate.

Photographs of faculty members requested for publication by technical or professional journals are provided at no cost. Biographical information is kept on file on faculty and administrative-professional staff, as well as photographs which may be used to respond to media requests.

The Office of University Relations also works closely with the Chancellor's Office and the Office of the Vice Chancellor for Development and Alumni Affairs in coordinating external relations projects, preparing special reports, and planning special events.





# Faculty/Student Relations

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The student handbook, *Hilltopics*, represents the University's considered deliberations on such matters as faculty/student relations, student conduct, and related considerations that focus the shared integrity of an academic ethos. Faculty performance in the professional role of teacher, researcher, or advisor is an important influence on the academic and community ethos of the University.

## 10.1 FACULTY RESPONSIBILITIES IN TEACHING AND ADVISING

An outstanding university is determined, in large measure, by the quality of its teachers. The styles of good teaching vary almost as much as the many disciplines in a large, complex university. The size and academic level of the class, the personality of the teacher, the goals of the students, the subject matter under investigation, and the expectations of a profession or of the public all affect the definition of what constitutes good teaching. The University acknowledges and supports this diversity. It supports the seriousness of the University faculty's commitment to good teaching while it also recognizes the student's legitimate expectations and responsibilities in this important aspect of the University's mission.

Good advising is another important aspect of the faculty role. Indeed, good teaching, scholarly research, and academic advising are mutually supporting aspects of faculty excellence. The serious university student is learning how to learn and also how to relate the several parts of the university experience (the classes, lectures, readings, discussions, labs, and extra-classroom endeavors) to some emerging sense of a whole. Good advising is a crucial, invaluable aspect of this search for unity and integrity in the many parts. To be good academic advisors, faculty must be knowledgeable about the curriculum and the students. Every student is required to see his/her advisor at least once a year to discuss the many choices and goals that need to be considered. Every student should know some faculty member well enough to ask for an informed, personal letter of reference or recommendation when time comes for graduation. The faculty member has, in turn, much to learn from the advisee and from the careful inspection of curriculum that advising requires. A good advisor is better informed about the issues that face the faculty when it votes on curriculum and on admission and graduation requirements.

*Hilltopics* states the University's position on students' rights related to their records under relevant State and Federal laws. The Vice Chancellor of Academic Affairs is



custodian of all student records maintained by colleges, schools, and academic departments. The Associate Vice Chancellor for Academic Affairs and Dean of the Graduate School is responsible for all student records maintained by the Graduate School. All other student records are the custody of the Vice Chancellor for Administration and Student Affairs.

*Hilltopics* provides detailed information on the administrative procedure to be followed by a faculty member in dealing with student academic dishonesty. A written notification, countersigned by the department head, must go to any student assigned a penalty grade. Instructors are advised to consult with the department head before they assign a penalty grade, or to have a standing agreement with the department head on the procedures for assigning a penalty grade.

The following quotations from *Hilltopics* cover important aspects of the University's understanding of its expectations for student/faculty relationships in the classroom and its general philosophy governing student rights and responsibilities. Attention is also called to the Guidelines for Faculty and Students printed as Appendix 2 of the *Handbook*, and to information contained in Appendix 3, which deals with services to the handicapped and with assistance to international students.

## **10.2 FACULTY/STUDENT RELATIONSHIPS IN THE CLASSROOM**

1. *Freedom of Expression.* Free and pertinent discussion is welcome at the University. Students should feel free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion. They are responsible, however, for learning the content of any course of study for which they are enrolled.
2. *Academic Evaluation.* Students may expect their performance to be evaluated solely on an academic basis and not on opinions or conduct in matters unrelated to academic standards. Students are responsible for each course in which they are enrolled. A student alleging unfair evaluation should appeal first to the teacher, next to the department head, to the college dean, and if necessary, to the Ombudsperson and the Dean of Students. Faculty are expected to make honest, professional judgments on the academic performance of students and to make clear to them the basis for academic evaluation used in their classes.
3. *Academic Integrity.* The University expects that all academic work will provide an honest reflection of the knowledge and abilities of both students and faculty. Cheating, plagiarism, fabrication of data, providing unauthorized help, and other acts of academic dishonesty are abhorrent to the purposes for which the University exists.

### **10.3 STUDENT RIGHTS AND RESPONSIBILITIES**

The University of Tennessee shares with other academic institutions responsibility for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. Programs of study and activities from which the student may choose are designed to develop individuals who are accurately informed, disciplined in thought, and literate in expression. Through university experiences, students are provided an opportunity to establish a basis for mature private life, intelligent participation in society, and a successful career. In establishing the objectives, the University needs the understanding, support, and thoughtful assistance of each faculty member, administrator, and student.

Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students are encouraged to develop capacity for critical judgment and to engage in a sustained and independent search for truth. The freedom to learn, in particular, is in large measure dependent upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community. Students should exercise this freedom with responsibility.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. This University has a duty to develop policies and procedures which provide a safeguard to this freedom. Such policies and procedures are developed at this institution with the participation of all members of the academic community.

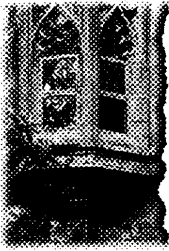
By registering in the University, the student neither loses the rights nor escapes the duties of a citizen. Each student should conduct his/her personal life in the context of mutual regard for the rights and privileges of others. Therefore, it is expected that students will demonstrate respect for the law and for the necessity of orderly conduct in the affairs of the community.

Students are responsible for being fully acquainted with the University catalog, handbook, and other regulations relating to students and for complying with them in the interest of an orderly and productive community. Failure or refusal to comply with the rules and policies established by the University may subject the offender to disciplinary action up to and including suspension from the University.

### **10.4 DIRECTING GRADUATE PROGRAMS FOR RELATIVES**

A teacher may not be involved in directing the graduate program of a spouse or relative.





# Personnel Policies

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## **11.1 THE UNIVERSITY AS AN AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY EMPLOYER**

The University of Tennessee is committed to the policy that all persons shall have equal access to programs, facilities, admission, and employment without regard to personal characteristics not related to ability, performance, or qualifications as determined by University policy or by state or federal authorities. The UTK does not discriminate against any person because of age, ancestry, color, disability or handicap, national origin, race, religious creed, sex, sexual orientation, or veteran status. Direct all affirmative action inquiries to the Office of Diversity Resources and Educational Service (DRES), 1818 Lake Avenue, 974-2498.

The University is committed to the concept of affirmative action to accelerate the achievement of equal opportunity for underrepresented groups, women, the handicapped and disabled, and Vietnam-era veterans at all levels, and to ensure equal opportunity in all aspects of employment.

It is a violation of University policy for any member of the University community to threaten, harass, intimidate, assault, or otherwise interfere with the terms and conditions of employment of any other member of the University community because of sex, race, religion, sexual orientation, national origin, or other characteristics included in the nondiscrimination policy.

The University does not tolerate sexual harassment of its students, faculty, or staff. The University is committed to a policy of nondiscrimination on the basis of sex in its educational programs and activities, and in the terms and conditions of employment. Harassment on the basis of sex by any University employee or agent is considered not only a violation of University policy, but also sex discrimination under federal and state statutes and regulations.

Complaints of sexual harassment may be brought to the attention of the sexual harassment contact person in your area, who has been trained to resolve the complaint at the appropriate level, or who will seek the assistance of DRES. For further information, call the DRES Office at 974-2498.

## **11.2 A DRUG-FREE WORKPLACE**

In support of the Drug-Free Workplace Act of 1988 (Public Law 100-690), and the Drug-Free Schools and Communities Act of 1989, it is the policy of The University of

Tennessee to maintain a safe and healthful environment for its students and employees. Therefore, University policy prohibits the unlawful use, manufacture, possession, distribution, or dispensing of drugs ("controlled substances" as defined in the Controlled Substances Act, 21, U.S.C. 812) and alcohol on University property or during University activities.

Violation of this policy is grounds for disciplinary action—up to and including immediate discharge for an employee and permanent dismissal for a student. Federal and state laws provide additional penalties for such unlawful activities, including fines and imprisonment (21 U.S.C. 841 et seq.; T.C.A. 39-6-401 et seq.). Local ordinances also provide various penalties for drug- and alcohol-related violations which may include referral for legal prosecution or requiring the individual to participate satisfactorily in an approved drug use/alcohol abuse assistance or rehabilitation program. Aside from any University policy considerations, the use of illicit drugs and/or the abuse of alcohol may be harmful to your health.

Individuals who are paid by The University of Tennessee from federal grants or contracts must notify the University of any criminal drug statute conviction for a violation occurring in the workplace within five days after such conviction. The University is, in turn, required to inform the granting or contracting agency of such violation within ten days of the University's receipt of notification.

Employees and their families needing treatment information should call their local Personnel Office, Employee Assistance Program, or the State of Tennessee Employee Assistance Program (800-468-8369).

### **11.3 SMOKING POLICY**

Smoking of any material by University members is prohibited in all University locations except for those specially designated areas on campus. This ban includes classrooms, laboratories, seminar/meeting rooms, faculty offices, and University-owned and -operated vehicles. Each University member is responsible for monitoring compliance with this policy at his/her level of involvement in the University community. Visitors are also expected to comply with this policy.

### **11.4 PARKING**

The University's Parking Services, 1411 White Avenue, assigns spaces in the various parking areas across campus to the faculty upon recommendation of deans and department heads under regulations defined by the Transportation and Parking Authority. All faculty who operate a motor vehicle in connection with their employment are required to register their vehicles with the Traffic Office, and if they wish to park on the UTK Campus, they must purchase a parking permit. The fee for the permit will depend upon the parking accommodation, ranging from open parking lots to enclosed garages and a limited number of reserved twenty-four-hour spaces. Fees are payable annually in advance or by monthly payroll deductions. Parking citations for violation of

rules may be appealed (either in writing or orally) within fourteen (14) calendar days after from the date of citation to an Appeals Board appointed by the Traffic and Parking Authority chairperson.

The UTK Traffic and Parking Regulations are published annually and are distributed with vehicle registration forms. In particular, it is noted in this publication that illegally parked vehicles may be impounded, large fines are assessed for parking in fire lanes and handicapped spaces, and traffic and parking limitations may be imposed on special occasions such as athletic events.

Handicapped persons and persons who are temporarily disabled may obtain special permits allowing them to park in spaces which are convenient to their areas of work. Faculty may secure special permits through their dean or department head upon approval of their chief administrative officer when their work requires travel to other areas of campus. Visitor parking permits are available at the Security Building, 1115 UT Drive, or at the Information Center at the entrance to Circle Park.

Special arrangements may be made for anyone interested in carpooling. Information may be obtained from the Employee Transportation Coordinator in the Traffic Office (974-6031) or through the Knoxville Commuter Pool (637-RIDE).

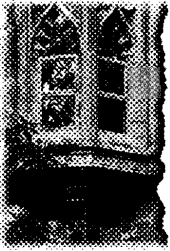
## **11.5 BUILDING KEYS**

Keys for outer and inside doors are issued by the Lock & Key Service (804 Volunteer Blvd.) upon approval and recommendation of the department head and dean. Keys must be returned to the Lock & Key Service at the termination of employment or at the beginning of extended absence from campus. A faculty member receiving an assigned key shall not permit the duplication of the assigned key, shall relock locked buildings when he/she enters or leaves the building, and shall be responsible for the conduct of all persons he/she admits to a locked building.

## **11.6 SECURITY INFORMATION**

In accordance with the Tennessee College and University Security Information Act of 1989 and the Student Right-to-Know and Campus Security Act, The University of Tennessee, Knoxville has prepared a report containing campus security policies and procedures, data on campus crimes, and other related information. A copy of this report is distributed annually in the Fall Semester to all faculty, staff, and students. Copies of the report may also be obtained by any student, employee, or applicant for admission or employment from the Office of the Dean of Students, 413 Student Services Building, Knoxville, TN 37996-0248.





# Appendices

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The appendices contain administrative policies approved by the Chancellor of The University of Tennessee, Knoxville. They are not approved by the Board of Trustees, are not legally binding upon The University of Tennessee, and are superseded by any policies of the Board of Trustees with which they may conflict. These policies are subject to change without notice, and a copy of the most recent versions of each appendix may be obtained from the following offices:

Appendix 1.....Director of Diversity Resources and Educational Services

Appendix 2.....Office of the Vice Chancellor for Academic Affairs

Appendix 3.....Dean of Admissions and Records

Appendix 4.....Director of Affirmative Action

Appendix 5.....Office of the Vice Chancellor for Academic Affairs



## **APPENDIX 1**

### **12.1 EQUAL EMPLOYMENT OPPORTUNITY POLICY**

Issued February 14, 1969;

Revised, 1970, 1972, 1974, 1976, 1978, 1985

*Objective:* To set, define, and communicate broadly the policy of The University of Tennessee, Knoxville, concerning fair employment practices and equal employment opportunity for all UTK employees and applicants for UTK employment.

The University of Tennessee, Knoxville, offers equal employment opportunity to all its employees and to all applicants for UTK employment without regard to race, religion, sex, age, national origin, or veteran status, as required by federal, state, and local laws, executive orders, and regulations pertaining to fair employment practices. UTK is also prepared to make reasonable accommodations to allow employment of handicapped individuals and for religious observances of employees and applicants for employment. Additionally, sexual harassment is a direct violation of UTK policy. This policy extends to recruitment, employment, promotion, UTK-sponsored training programs, educational opportunities, compensation, leave, tuition assistance, transfers, lay-offs, return from layoffs, demotions, terminations, social and recreational programs, use of University facilities, and treatment as individuals. This policy is binding on all UTK employees engaged in any of the processes or programs listed above.

UTK views this policy as basic to the institutional commitment, not as merely a means of complying with orders, laws, and regulations to which it is subject.

#### **12.1.1 Procedures:**

1. Advertising copy prepared to announce available positions at UTK shall comply in all regards with federal, state, and local regulations pertaining to equal employment opportunity. In the case of advertisements for faculty and staff-exempt positions, copies of advertisements placed are to be maintained on file by the head of the unit advertising the vacancy. The UTK Personnel Office will place all advertisements for staff non-exempt position vacancies and will maintain on file copies of all such advertisements.
2. Sources of referral utilized by UTK units are to be informed in writing of this policy and UTK's intention to seek out and employ qualified applicants without regard to race, color, religion, sex, age, national origin, handicap, or veteran status. A copy of such notification shall be maintained on file by the head of the unit contacting the source of referral, in the case of faculty and staff-exempt positions. The UTK Personnel Office will notify sources of referral for staff non-exempt positions and will maintain on file copies of the notifications.
3. Employment decisions shall be based solely on an individual's qualifications for the position for which he/she is being considered.

4. Promotions shall be made in accord with the principles of equal employment opportunity. Only valid, job-related requirements for advancement will be established.
5. No employee shall be excluded from participation in any University-sponsored activity or denied the benefits of any University program on the grounds of race, color, religion, sex, age, national origin, or veteran status. The University is prepared to make reasonable accommodations to allow participation by the handicapped in its programs, activities, and benefits to make reasonable accommodations for religious observances by its employees.
6. Evaluation of supervisors' and managers' work performance will include a review of their equal employment efforts and results, as well as other criteria.
7. Reports required by federal, state, and local agencies with regard to equal employment opportunity and affirmative action shall be submitted by the Office of the Director of Affirmative Action, which office will also maintain such reports on file.

UTK deans, directors, managers, and supervisors shall be apprised of this policy in writing and shall be reminded of its provisions at least once a year. A record shall be made of such notices by the Affirmative Action Director. Employee Handbooks, the Faculty Handbook, and the Affirmative Action Plan, and other appropriate documents shall contain this policy. This policy, and the seven procedures above, shall be posted in conspicuous places throughout the campus and at all locations at which UTK employees are stationed and shall be on file in the offices of all budgetary unit heads.

In support of the intent of this policy, UTK has issued an Affirmative Action Plan. It shall be the responsibility of the Office of the Director of Affirmative Action to monitor the effectiveness of the implementation of this policy by monitoring the provisions of the Affirmative Action Plan.

## **APPENDIX 2**

### **12.2 TEACHING/LEARNING GUIDELINES (ALL TEACHING STAFF)**

*Introduction.* The brief statement which follows is intended to provide some guidelines for the faculty member (all members of the University's academic teaching staff) with regard to the teaching/learning process. We hope that the guidelines will be especially useful to members of the faculty who have just entered the profession, although more experienced teachers may also reflect on these guidelines.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every possible eventuality in the teaching/learning experience. There would be other equally good ways of handling some of the circumstances mentioned here. These guidelines are mainly a reminder of some of the principal aspects

of the teaching/learning process which should be observed by the University teacher.

*Course Organization.* It is the responsibility of the faculty member to organize class material as efficiently and effectively as possible at the beginning of each term of instruction. Course objectives should be made clear at the first session. The teacher should discuss such matters as required readings; the approximate number of tests; the basis for the final grade with regard to the value to be placed on class recitation, major tests, minor tests, research papers, etc. At this time the students should be informed if the course is not adequately described in the General Catalog, the Graduate Catalog, or publications of the various colleges and departments.

*Conducting the Course.* The faculty member should set an example for students in being faithful in attendance and punctual in starting and ending classes. Students should be informed of all planned absences as early as possible. When a faculty member must be away from class to attend a conference or deal with other professional matters, he/she should arrange for a colleague to substitute for him/her. In an emergency, the faculty member should have the class notified through the agency of the departmental office that he/she is compelled to be absent.

In presenting course content, the faculty member should endeavor at all times to adhere to his/her subject; the classroom should not be used as a theater for expression of personal views not germane to the course. The faculty member should take care that the tests and all other devices for student evaluation are appropriate instruments for measuring course content. The faculty member should return all tests as soon as possible and discuss them with the students so that the test remains an educational instrument; thus students can learn from testing as well as from other class activities.

*Atmosphere for Teaching and Learning.* It is very important that the faculty member create from the beginning, and preserve throughout the course, an atmosphere conducive to learning. Both teacher and student should feel that they have come together in the common cause of the pursuit of learning. The faculty member must be continually sensitive to students' needs, desires, and expectations and should exercise the kinds of judgments which demonstrate this kind of sensitivity. It is in this atmosphere of friendly and serious scholarship that the cause of learning can be most appropriately advanced.

*Teaching Expertise.* The faculty member should strive not only to maintain minimum competency but to surpass this level by constant inquiry into contemporary trends, prospects, and research. Faculty members who supervise graduate teaching assistants should take whatever measures may be necessary to ensure an appropriate level of competency in the classroom. Departments should not neglect to give students of all educational levels the privilege of instruction by teachers of all professional ranks.

## APPENDIX 3

### 12.3 OFFICE OF DISABILITY SERVICES

Disability Services (DS) seeks to eliminate the barriers that students with disabilities encounter and to work with them to achieve and maintain individual autonomy. The program's primary objective is to provide these students with access to the academic, social, cultural, and recreational opportunities of the university.

Prospective students are encouraged to contact DS personnel so that they can be assured that the campus facilities and services are adequate to meet their needs. The staff can be of service to the students to the extent that their individual needs are made known. Contact with the students prior to registration enables DS staff to better assess the need for interpreters, readers, accessible facilities, and other support services. Van service is also provided to those individuals with mobility limitations, whether permanent or temporary. Documentation of disability from an attending physician or the Student Health Center is required.

*\*Note about planning for extra-curricular or course outings must include a plan to accommodate participants who have disabilities. Events open to the public must be made accessible to the entire community of individuals with disabilities. Program coordinators should contact the DS Director at 974-6087 to make appropriate arrangements for accommodations.*

## APPENDIX 4

### 12.4 NON-SEXIST LANGUAGE GUIDELINES

The following suggestions were prepared by the UTK Commission for Women as part of a continuing effort to make the University community aware of the many subtle ways in which traditional language can enforce a subtle sexism. The University does not and cannot impose uniformity of thought or of expression upon its faculty and students. At the same time, it is an abiding and even venerable mission of the University to challenge dull conventions and stereotypes both in language and in thought wherever they appear.

Sexism refers to discrimination on the basis of gender or sex. Sexist language reflects and creates discrimination. Since language is the basis for thought, sexist language is not only an indicator of but also a contributor to sexist attitudes and behavior. Thus, removal of sexual discrimination in language is necessary to eliminate sexism.

In all University settings, members of the University community should:

1. Use gender equivalent construction. Equivalent or parallel construction should be used for males and females. Thus, if males are referred to as "men," females should be referred to as "women," not as "girls" or "ladies."
2. Use alternatives to the masculine singular pronoun for generic singular. The masculine singular pronoun traditionally has been used as the generic singular. Such usage fails to acknowledge the participation of women in human activity unless

they are specifically identified. Alternatives to the use of "he," "him," and "his" for the generic singular are he/she, she/he, her/him, him/her, hers/his, his/hers or one's. Some individuals may prefer to alternate the use of the male and female singular pronoun to indicate generic singular. While some alternatives may seem awkward when they are first used, they become comfortable with usage and will, as any other language construction, become second nature in time. It is this natural incorporation of women into language on an equal basis with men that is the purpose of non-sexist language usage.

3. Use person-oriented rather than gender-oriented words. Words which clearly refer to both sexes should be used in preference to words and titles which omit one sex. The terms, human(s), humankind, people, persons, individuals, humanity, or men/women should be used rather than the terms man or mankind. For example, a course titled "Man and Civilization" could be retitled "Humanity and Civilization;" reference to "mankind's development" could read "human development," and so forth.
4. Use person-oriented job and occupational titles. Many titles were developed by attaching "man" as a suffix to the job or occupation. Alternatives to such titles should be utilized, such as: chair, head, presiding officer, (not chairman); mail carrier (not mailman) etc.
5. Avoid sex-role stereotyping: provide parallel treatment of women and men.
  - a. Women (as well as men) should be described on the basis of relevant characteristics rather than on the basis of gender.
  - b. Jobs, tasks, and behaviors should not be characterized in a stereotypical fashion on the basis of sex. Avoid identifying all doctors, lawyers, pilots, researchers, and the like as males while identifying all secretaries, nurses, flight attendants, and cooks as women.
6. Exhibit non-patronizing, non-condescending ways of describing and addressing women, particularly women in traditional occupations, e.g., secretaries, clerks, nurses. Both men and women should be sensitized to the negative effects which result from usage of terms such as "girl," "gal," "coed," "girl Friday," the "girls in the office," and the like.

#### **12.4.1 References:**

"Guidelines for Nonsexist Use of Language," *American Psychologist* (June 1975): 682-4.

"Guidelines for Nonsexist Use of Language in NCTE Publications," National Council of Teachers of English.

"Proposed Styles and Policies for the Elimination of Sex-Bias in the Media," The Washington Press Club.

"Sexism in Language—A Deterrent to Equality," Tennessee Commission on the Status of Women.

## **APPENDIX 5**

### **12.5 PART-TIME APPOINTMENTS: ILLUSTRATIVE GENERAL SITUATIONS AND PARTICULAR STIPULATIONS**

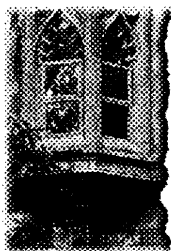
There are several grounds on which part-time appointments may be made:

1. A professional person in practice in the community may have expertise that is valuable or even indispensable to instruction or research in an academic program. Such persons may not be willing or able to accept full-time employment at the University but are able to accept such assignments on a continuing part-time basis negotiated so as to make the long-range term of service much like that of full-time faculty.
2. A person otherwise qualified for full-time academic appointment may have personal reasons for desiring continuing part-time service. Such reasons may include family obligations, independent academic projects, or other independent interests not related to academic work.
3. The varying demands of the academic program may require from time to time an addition of teaching or research faculty on a temporary basis. Such service may be unpredictable in length, scope, and frequency, and therefore is often negotiated on a semester basis. Under these circumstances it is not usually possible to establish a continuing part-time appointment. However, the University recognizes the value of such service and makes every effort to ensure that persons who accept temporary part-time appointments are able to take every possible advantage of the resources and benefits of University service. Where a consistent pattern of employment of such persons has emerged (for instance, when a person has repeatedly been invited to teach two semesters a year for several years and there is reasonable probability that such invitations will continue) a continuing part-time arrangement should be considered.

Any one of the following stipulations might be appropriate for a given part-time appointment, and there may be others:

- a. Assignment to teach a specified course (or courses), with no published research, committee work, or public service expected.
- b. Assignment to teach a specified course (or courses) and in this connection to carry on such research for publication as is necessary for continuing academic credibility; committee work and public service are encouraged and possibly even required.
- c. Assignment to specified research only carrying no teaching, public service, or committee responsibilities.
- d. Assignment to the full range of normal academic duties, scaled down to a proportion of full-time service.





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